



哈爾濱工業大學(深圳)  
HARBIN INSTITUTE OF TECHNOLOGY, SHENZHEN

2025

# 国际学生学习指南

COMPREHENSIVE GUIDE TO ACADEMIC POLICIES FOR  
INTERNATIONAL STUDENTS



HITSZ

温馨提示：本文件采用中英文书写，如有冲突，以中文版为准，英文版不作为管理依据。

**Note: These Regulations are written in both Chinese and English. If there is any discrepancy in the English expression, the Chinese version shall prevail. The English version is for reference only.**



## 教务相关联系方式

### Academic Affairs Contact Information

H614 (选课、考试、成绩)

H612 (学籍、答辩、学位)

网站: <http://due.hitsz.edu.cn/>

邮箱: [due@hit.edu.cn](mailto:due@hit.edu.cn)

H614 (Course Selection, Exams, Grades)

H612 (Student Status, Thesis/Dissertation Defense, Degrees)

Website: <http://due.hitsz.edu.cn/>

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“哈工大深圳教务部”  
网址

“HITSZ Department of  
Academic Affairs”  
Website



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公众号

“HITSZ Academic Affairs”  
WeChat public account

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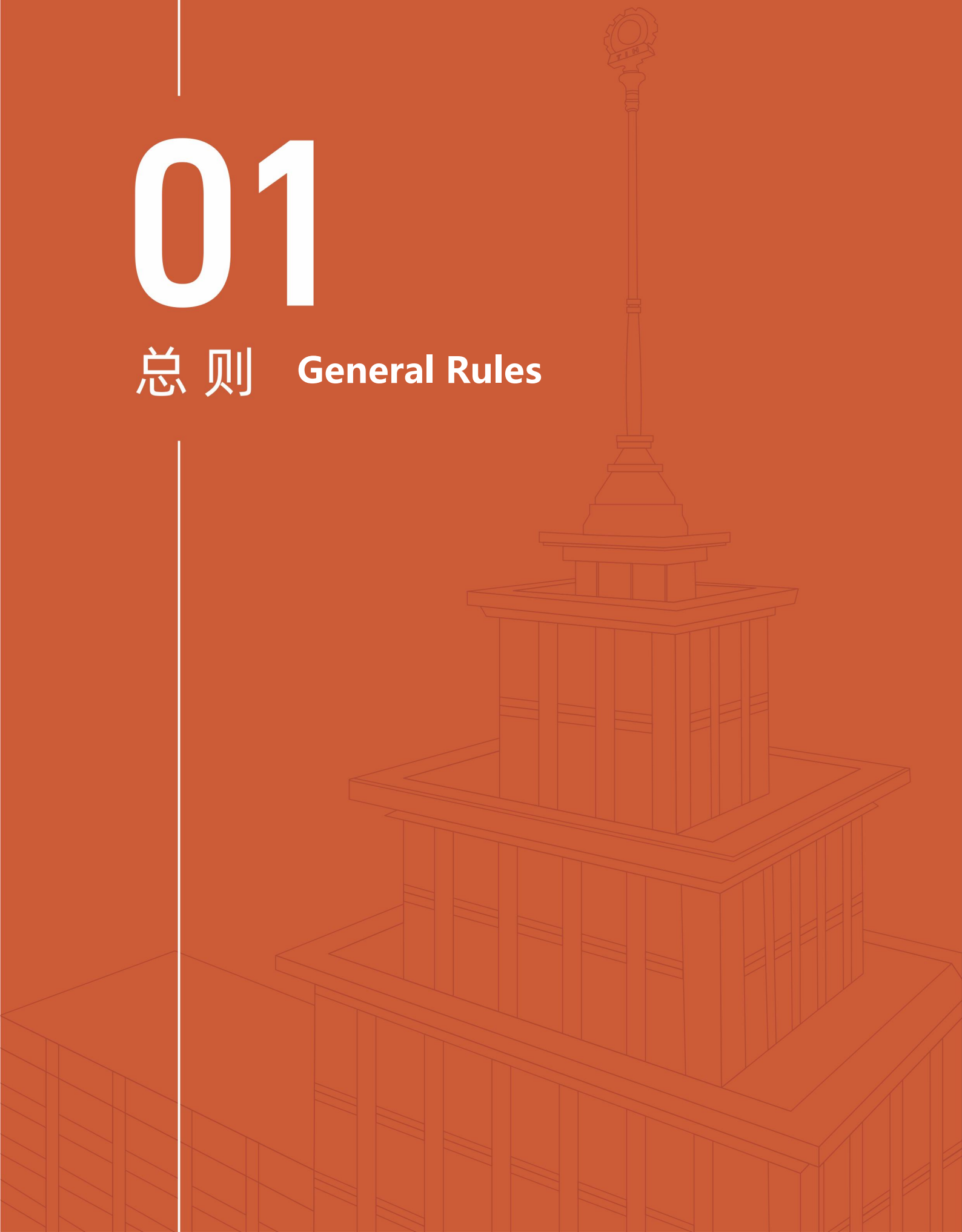
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# 01

## 总则 General Rules



# 哈尔滨工业大学本科生学籍管理规定

哈工大本[2025]177号

## 第一章 总 则

**第一条** 为规范学籍管理工作，维护学校正常教育教学秩序，保障学生合法权益，培养德智体美劳全面发展的社会主义建设者和接班人，根据《中华人民共和国高等教育法》以及《普通高等学校学生管理规定》（教育部令第41号），结合学校实际制定本规定。

**第二条** 本规定适用于具有我校学籍的本科生。

## 第二章 入学与注册

**第三条** 学校按照国家招生规定录取的新生，须持《哈尔滨工业大学录取通知书》，按学校有关要求和规定期限到校办理入学手续并缴纳学费。因故不能按期办理的，须书面向录取学院、学部、校区（以下统称学院）请假，请假时间原则上不得超过两周。未请假、请假未获批准或请假逾期的，除因不可抗力等正当事由外，视为放弃入学资格。

**第四条** 学校在新生入学时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书、考生信息等证明材料与本人实际情况或学校录取信息不符的，或有其他违反国家和学校招生考试规定情形的，作取消入学资格处理。

对学生作出取消入学资格处理，须报分管校领导审核，并提交校长办公会议研究决定。

**第五条** 经哈尔滨工业大学医院（以下简称校医院）或学校认可的二级甲等以上医院诊断，身心健康状况不适宜在校学习的新生，可申请保留入学资格一年。应征参加中国人民解放军（含中国人民武装警察部队）的新生，可申请保留入学资格至退役后两年。

申请保留入学资格的新生，须向所在学院提交书面申请和相关证明材料。经由教务部门审核批准后，可获准保留入学资格。保留入学资格期间不具有学籍，不享受在校生和休学生待遇。

保留入学资格期满前，申请入学的新生，须向所在学院提交书面申请和相关证明材料。经学校审查其新生入学资格合格后，可办理入学手续。保留入学资格期满后，逾期两周不申请入学的，除因不可抗力等正当事由外，视为放弃入学资格。

**第六条** 新生入学后，学校在三个月内按照国家和学校招生考试规定对新生入学资格进行复查。复查工作由教务部门会同学生工作部（处）/团委、校医院和各学院开展。复查内容主要包括：

（一）录取手续及程序等是否符合国家、省（自治区、直辖市）和学校相关规定。

（二）所获得的录取资格是否真实、符合相关规定。

（三）本人及身份证明与录取通知书、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。

复查中发现新生身心健康状况不适宜在校学习，经校医院或学校认可的二级甲等以上医院诊断，需要在家休养的，可建议新生办理休学。

复查中发现新生存在弄虚作假、徇私舞弊等情形的，确定其为复查不合格，作取消学籍处理；情节严重的，将问题线索移交有关部门调查处理。

对学生作出取消学籍处理，须报分管校领导审核，并提交校长办公会议研究决定。

**第七条** 秋季、春季学期开学前，学生须按学校规定办理报到注册手续。

不能按时注册的，须向所在学院请假，履行暂缓注册手续。未请假或请假未获批准，逾期两周未注册的，除因不可抗力等正当事由外，视为放弃学籍，予以退学处理。

秋季学期缴纳学费后方可注册，未按学校规定缴纳学费或有其他不符合注册条件的，不予注册。

家庭经济困难的学生可以申请助学贷款或其他形式资助，办理有关手续后注册。

### **第三章 专业基本修业年限与最长学习年限**

**第八条** 本科专业基本修业年限一般为四年或五年，最长学习年限为专业基本修业年限加两年。

**第九条** 学生休学时间计入学习年限；学生参加学校（含学院）组织的联合培养、交流交换项目，或经校院两级批准的个人申请交流交换项目，学习时间计入学习年限；学生应征参加中国人民解放军（含中国人民武装警察部队），服役时间不计入学习年限，退役后保留学籍时间计入学习年限。

### **第四章 课程考核与成绩记载**

**第十条** 学生须按时参加培养方案规定课程和教育教学环节（以下统称课程）的学习。不能按时参加的，须履行请假手续。学生请假事宜按《哈尔滨工业大学学生请销假管理办法》执行。

**第十一条** 学生须参加培养方案规定课程的考核。学生课程考核与成绩记载事宜按《哈尔滨工业大学本科课程考核与成绩管理办法》执行。

### **第五章 专业选择与转学**

**第十二条** 学校按照“专业集群”“专业类”“专业”招生，其中“专业集群”“专业类”内包含专业。专业选择是指学生在专业集群、专业类内选择专业，或申请转专业（集群/类）。

**第十三条** 在学校规定的时间范围内，有以下情形之一的学生可申请转专业（集群/类）：

- （一）第一学年学习结束后，对其他专业（集群/类）有浓厚兴趣。
- （二）在某方面有突出才能，转专业（集群/类）后可更好地发挥自身特长。
- （三）休学创业或参军退役复学后，因自身情况确有需要。

（四）因学习有困难或患病等原因不能在原专业（集群/类）学习，但尚能在其他专业（集群/类）学习。属于本款情形的，学生高考成绩不得低于拟转入专业（集群/类）同一生源地、同一招生形式相应年份学校最低录取分数。

（五）以特殊招生形式录取的学生，如国家有相关规定或录取前与学校有明确约定，按规定或约定申请。

**第十四条** 招生录取期间、入学未满一学年或毕业前一年，原则上不得申请转专业（集群/类）。

**第十五条** 学生因患病或有特殊困难、特别需要，无法继续在本校学习或不适应本校学习要求的，可以申请转学。学生转学事宜按《哈尔滨工业大学本科生转学管理办法》执行。

**第十六条** 学生因学校培养条件改变等非本人原因需要转学的，学校出具证明后报所在地省级教育行政部门，经批准后方可转学。

## 第六章 休学、保留学籍与复学

**第十七条** 学生应在学校规定的最长学习年限内完成学业。在学期间，本人申请休学或学校认为应当休学的学生，经批准后休学。原则上，单次休学时间不少于六个月、不超过一年，累计休学时间不超过两年。

**第十八条** 学生有下列情形之一，应予以休学：

（一）经校医院或学校认可的二级甲等以上医院诊断，身心健康状况不适宜在校学习，需要在家休养超过六周（含六周）。

（二）履行请假手续并获准，但一学期累计缺课超过六周（含六周）。

（三）因创业不能正常在校学习。

（四）因其他原因需中断学业。

（五）学校认定为应当休学。

**第十九条** 本人申请休学的，须向所在学院提交书面申请和相关证明材料，经学院批准并报教务部门备案后，准予休学；学校认为应当休学的，由学生所在学院向教务部门提交该生休学建议，经校长办公会议批准后，予以休学。学生须在获准休学后一周内办理离校手续，学校为其出具休学证明。因病休学学生的医疗费用报销等按学生所参加医疗保险的有关规定执行。

**第二十条** 在学期间，学生应征参加中国人民解放军（含中国人民武装警察部队），学校为其保留学籍至退役后两年。

**第二十一条** 学生休学、保留学籍期间不享受在校生待遇。学校根据学生实际学习时间，按月计退剩余学费或用剩余学费冲抵复学后应缴纳学费。对于每月1~15日办理休学、保留学籍的，退还当月学费或用当月学费冲抵后续学费；对于每月15日以后办理的，不退还当月学费。

**第二十二条** 休学、保留学籍期满，学生须于期满当学期开学前一周向所在学院提出复学申请，经学校复查合格后，办理复学手续；复查不合格的，不予办理复学手续，可申请继续休学或退学。

## 第七章 学业警示、降级与退学

**第二十三条** 每学期补考结束后，学生有必修课程考核不合格的，所在学院须对其进行学业警示。

**第二十四条** 必修课程考核不合格学分 12~15.5 的，学生可自愿申请降级至同专业（集群/类）下一年级学习。

**第二十五条** 必修课程考核不合格学分累计 16~20 的，学生须降级至同专业（集群/类）下一年级学习。

**第二十六条** 降级学习只受理一次，学生须在学校规定的时间办理。

**第二十七条** 学生有下列情形之一，予以退学处理：

- （一）在学期间，必修课程考核不合格学分累计 20 以上（不含 20）。
- （二）逾期两周未注册（除因不可抗力等正当事由外）且未履行暂缓注册手续。
- （三）休学、保留学籍期满，在期满当学期开学后两周内未提出复学或继续休学申请，或申请复学时经学校复查不合格且未申请继续休学。
- （四）经校医院或学校认可的二级甲等以上医院诊断，患有特殊疾病或意外伤残无法继续在校学习。
- （五）未经批准连续两周未参加学校规定的教学活动。
- （六）在最长学习年限内未完成学业。
- （七）学校规定的应予退学的其他情形。

**第二十八条** 退学手续须按以下规定办理：

- （一）本人申请退学的，须向所在学院提交书面申请，由所在学院审批后报教务部门备案。
- （二）按本规定第二十七条对学生作出退学处理的，须报分管校领导审核，并提交校长办公会议研究决定。经审议批准后，学校出具《退学决定书》，由学生所在学院向学生送达《退学决定书》并装入学生个人档案。
- （三）学校为退学学生发放肄业证书或写实性学习证明。
- （四）学校根据退学学生实际学习时间，按月计退剩余学费。对于每月 1~15 日退学的，退还当月学费；对于每月 15 日以后退学的，不退还当月学费。

**第二十九条** 退学学生须按以下规定办理离校手续：

- （一）在七个工作日内办理完离校手续并离校。
- （二）因病退学学生须由其成年近亲属来校接回。
- （三）档案退回家庭所在地，户口按照国家相关规定迁回原户籍或家庭户籍所在地。

## 第八章 毕业、结业与学业证书管理

**第三十条** 学生在学校规定的学习年限内，修完培养方案规定的全部内容，成绩合格，

达到毕业要求，同时达到《国家学生体质健康标准》合格要求，准予毕业并颁发毕业证书。符合《哈尔滨工业大学学位授予办法》的毕业生，颁发学士学位证书。

**第三十一条** 学业优秀的学生，提前修完培养方案规定的全部内容，获得毕业要求的全部学分，可申请提前毕业。

**第三十二条** 学生在专业基本修业年限内未达到毕业要求的，须结业离校。学校发放结业证书。

**第三十三条** 结业学生在学校规定的最长学习年限到期前可申请修读尚未获得学分课程或重修不合格课程。满足本规定第三十条各项要求后，可申请换发毕业证书、申请学士学位。

**第三十四条** 结业学生课程修读或重修期间，出现违反校纪、校规或其他违法违纪行为的，取消其换发毕业证书申请或学士学位申请资格。

**第三十五条** 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。

学生在学期间申请变更姓名及出生日期等个人重要信息的，应当有合理、充分的理由，并提供具有法定效力的相应证明材料，学校审查后报省级教育行政部门，经批准后方可变更。学校按照变更后的个人信息，填写、颁发学历证书、学位证书及其他学业证书。

**第三十六条** 学校按照国家高等教育学历电子注册管理制度，及时完成学生学历电子注册。

**第三十七条** 对违反国家和学校招生考试规定取得入学资格或学籍的学生，取消其学籍，不颁发学历证书、学位证书；已发的学历证书、学位证书依法予以撤销。被撤销的学历证书、学位证书已进行电子注册的，学校予以注销并报教育行政部门宣布无效。

**第三十八条** 学历证书、学位证书遗失或损坏，经本人申请，学校核实后为学生出具相应的证明书。证明书与原证书具有同等效力。

## 第九章 辅修

**第三十九条** 在读期间，学生可申请修读辅修专业。学生辅修事宜按《哈尔滨工业大学本科生辅修专业管理办法》执行。

## 第十章 纪律处分

**第四十条** 对违反考试纪律或有其他违法、违纪、违规行为的学生，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。

**第四十一条** 给予学生处分与解除学生处分，按《哈尔滨工业大学学生违纪处分办法》《哈尔滨工业大学学生考场纪律及考试违纪处分管理办法》执行。



**第四十二条** 被开除学籍的学生，离校手续参照本规定第二十九条办理，学校为其出具学习证明和已修课程成绩单。

## **第十一章 学生申诉**

**第四十三条** 受到取消入学资格、取消学籍、退学处理、开除学籍或违规、违纪处分的学生，对学校作出的涉及本人的处理或处分决定有异议的，可以向学校提出书面申诉。学生申诉事宜按《哈尔滨工业大学学生申诉处理办法》执行。

## **第十二章 附 则**

**第四十四条** 本办法由本科生院负责解释。

**第四十五条** 本规定自发布之日起施行。原《哈尔滨工业大学本科生学籍管理规定》（哈工大本〔2020〕134号）同时废止。

# **Regulations for Management of Undergraduate Student Status of Harbin Institute of Technology**

No. 157 [2025], HIT Undergraduate

## **Chapter II Admission, Enrollment, and Registration**

**Article 3** Students newly admitted to HIT in accordance with national college admission regulations must present their Offer of Admission, complete all enrollment procedures, and pay the required tuition fees within the designated timeframe, as specified by university guidelines. Students unable to enroll on time for any reason must submit a written leave request to their admitting school or campus (hereinafter collectively referred to as the “school”). As a rule, the leave period may not exceed two weeks. Failure to request leave, obtain approval for leave, or complete enrollment after the approved leave period—without a valid reason such as force majeure—shall be deemed a forfeiture of admission.

**Article 4** During enrollment, the university will conduct a preliminary review of each new student’s admission eligibility. Students who successfully pass this review will complete the enrollment process and be granted official student status. However, if any discrepancies are found between the Offer of Admission, application materials, supporting documents, and the student’s actual information or the university’s admission records—or if any violations of national or university regulations regarding admissions or examinations are discovered—the admission will be revoked.

Decisions to revoke admission must be reviewed by the appropriate supervising university leader and submitted to the Presidential Executive Council for deliberation and approval.

**Article 5** New students who are diagnosed by the Hospital of Harbin Institute of Technology (hereinafter referred to as the “HIT Hospital”) or by a Grade II Level A (or higher) hospital recognized by the university as physically or mentally unfit for on-campus study may apply to defer enrollment for one year. Students who enlist in the Chinese People’s Liberation Army (including the Chinese People’s Armed Police Force) may apply to defer enrollment until up to two years after discharge.

To request a deferral, students must submit a written application with supporting documents to their respective school. The application must be reviewed and approved by the Department of Academic Affairs. During the deferral period, the applicant does not hold student status at HIT and is not

entitled to any rights or benefits granted to actively enrolled students or those on an approved leave of absence.

Before the deferral period ends, students who wish to enroll must submit a written application and the required supporting documents to their school. The school will complete the enrollment procedures once it verifies and confirms the student's admission eligibility. Failure to enroll within two weeks after the deferral period—except in cases of force majeure or other valid reasons—will be considered a forfeiture of admission.

**Article 6** Within three months of enrollment, the university shall re-examine the eligibility of newly admitted students, in accordance with relevant national and university regulations on admissions and examinations. This re-examination will be jointly conducted by the Department/Office of Academic Affairs, Communist Youth League HIT Committee, HIT Hospital, and the respective schools. The re-examination shall cover the following aspects:

- (I) Whether the admission procedures adhered to all relevant national, regional, and university policies and regulations.
- (II) Whether the students' qualifications are authentic and meet the required standards.
- (III) Whether the students' personal information and identification documents match the information provided in their admission applications and offer letters.
- (IV) Whether the students' physical and mental health meet the medical standards required for their chosen program, and whether they are capable of studying and living normally on campus.
- (V) Whether students admitted to special programs—such as arts or sports—possess the requisite professional abilities as stipulated in the admission criteria.

If the re-examination concludes that a student's physical or mental condition renders them unfit for campus life, and this is confirmed by a diagnosis from the HIT Hospital or a Grade II Level A (or higher) hospital recognized by the university, the student may be advised to apply for a leave of absence.

If any falsification, fraud, or malpractice is discovered during the re-examination, the students concerned shall be deemed to have failed the re-examination and may face cancellation of student status. In serious cases, relevant information will be reported to the appropriate authorities for further investigation and action.

Decisions to cancel student status must be reviewed by the appropriate supervising university leader and submitted to the Presidential Executive Council for deliberation and approval.

**Article 7** Before the start of the fall and spring semesters, students must complete check-in and registration procedures in accordance with university requirements.

Students unable to register on time must submit a request for leave to their respective school and follow the procedures for deferred registration. Failure to request leave, obtain approval for leave, or register within two weeks after the specified time—except in cases of force majeure or other valid reasons—shall be considered a forfeiture of student status and will result in withdrawal from the university.

For the fall semester, registration is permitted only after the required tuition fees have been paid. Students who fail to pay tuition or who do not meet other registration requirements will not be allowed to register.

Students facing financial difficulties may apply for student loans or other forms of financial aid and register after completing the relevant procedures.

### **Chapter III Standard and Maximum Duration for Program Completion**

**Article 8** The standard duration for completing an undergraduate program is typically four or five years. Students are allowed up to two extra years to finish their program if needed.

**Article 9** Periods of leave of absence, as well as time spent in university/school-organized or approved joint training or exchange programs, shall count toward the total duration of study. Time spent serving in the Chinese People's Liberation Army (including the Chinese People's Armed Police Force) shall not count toward the study duration; however, the period after discharge will be included.

### **Chapter IV Course Assessment and Grade Recording**

**Article 10** Students must attend all courses and academic activities (hereinafter collectively referred to as “courses”) as specified in their program. Absences require prior approval through the official leave application process. Leave matters shall be governed by the “Measures for Student Leave Management of Harbin Institute of Technology”.

**Article 11** Students must participate in assessments for all courses outlined in their academic program. Assessment and grade-related matters shall be governed by the “Measures for Undergraduate Course Assessment and Grade Management of Harbin Institute of Technology”.

### **Chapter V Major Selection and Transfer**

**Article 12** The university admits students by major clusters, categories, or individual majors, with each cluster or category covering several related majors. Major selection refers to choosing a

specific major within a category or cluster, or applying to transfer between different majors, categories, or clusters.

**Article 13** Within the timeframe specified by the university, students may apply to transfer to a different major, cluster, or category under any of the following circumstances:

(I) After completing their first academic year, the student develops a strong interest in another major, cluster, or category.

(II) The student shows exceptional ability in a particular field, and a transfer would better support the development and application of their strengths.

(III) Upon returning from a leave of absence due to entrepreneurship or military service, the student has a legitimate need to change their academic path.

(IV) The student faces academic challenges or health issues that prevent them from continuing in their original major, cluster, or category, but are still capable of pursuing an alternative program. In such cases, the student's college entrance exam score must meet or exceed the minimum admission score for the intended program, corresponding to the same admission year, channels, and the region or province where the student originally applied or took the entrance exam.

(V) Students admitted through special channels may apply for transfer in accordance with relevant national policies or specific agreements established with the university prior to admission.

**Article 14** Generally, students are not permitted to apply for transfers between majors, clusters, or categories during the admission process, within their first academic year after enrollment, or during their last academic year before graduation.

**Article 15** Students who are unable to continue their studies at the university due to illness or other exceptional circumstances, and who are therefore unable to meet the university's academic requirements, may apply for a transfer to another institution. Such transfers shall be processed in accordance with the "Measures for Management of Inter-institutional Transfers for Undergraduate Students of Harbin Institute of Technology".

**Article 16** If a student needs to transfer to another institution for reasons beyond their control—such as changes in the university's educational resources or conditions—the university shall issue a supporting document to the student and report to the education authority of the province or region where the university is located before the transfer can proceed.

## **Chapter VI Leave of Absence, Retention of Student Status, and Reinstatement**

**Article 17** Students must complete their studies within the maximum allowable duration set by the university. During this period, students may apply for a leave of absence, or the university may require one if necessary. Once approved, the student's studies will be suspended. Generally, a single

leave of absence must last at least six months and no longer than one year, with the cumulative duration of all leaves not exceeding two years.

**Article 18** Students may be granted a leave of absence under any of the following circumstances:

- (I) When diagnosed by the HIT Hospital or a Grade II Level A (or higher) hospital recognized by the university as physically or mentally unfit for on-campus study, requiring recovery at home for six weeks or longer.
- (II) When approved for leave but absence from classes in a single semester reaches six weeks or more.
- (III) When engaged in entrepreneurial activities that prevent regular on-campus attendance.
- (IV) When needing to interrupt studies for other valid reasons.
- (V) When the university determines, based on its assessment, that a leave of absence is appropriate.

**Article 19** Students who wish to apply for a leave of absence must submit a written application, along with relevant supporting documents, to their respective school. The leave will be granted upon approval by the school and subsequent registration with the Department of Academic Affairs. If the university determines that a student should take a leave of absence, the student's school must submit a formal recommendation to the Department of Academic Affairs. The leave will be granted upon approval by the Presidential Executive Council. Students must complete all necessary departure procedures within one week of receiving leave approval. The university will issue an official certificate of leave. For medical leaves, reimbursement of medical expenses will be managed in accordance with the terms and conditions of the student's medical insurance policy.

**Article 20** Students enlisted in the Chinese People's Liberation Army (including the Chinese People's Armed Police Force) will have their student status preserved by the university for up to two years after discharge from military service.

**Article 21** Students on a leave of absence with preserved student status will not retain the same rights and benefits as actively enrolled students. Tuition refunds are calculated on a monthly basis, depending on the duration of attendance. Any unused tuition will either be refunded or credited toward future tuition fees upon the student's return. If the leave begins between the 1st and 15th of a month, tuition for that month will be refunded or credited. If it begins after the 15th, that month's tuition is non-refundable.

**Article 22** At the end of a leave of absence or student status retention period, students must submit a reinstatement application to their respective school one week prior to the start of the semester. Reinstatement will be granted only after the university reviews and approves the application. If the application is denied, the student will not be permitted to resume studies but may choose to either apply for an extension of their leave of absence or withdraw from the university.



## **Chapter VII Academic Warning, Demotion, and Withdrawal**

**Article 23** After the make-up exams at the end of each semester, if a student fails any required course, their school shall issue an academic warning.

**Article 24** Students who have failed required courses totaling 12-15.5 credits may voluntarily apply for demotion to a lower-level class within their current major (cluster/category).

**Article 25** Students who have failed required courses totaling 16-20 credits shall be demoted to a lower-level class within their current major (cluster/category).

**Article 26** Students may apply for demotion only once during the course of their program and must complete all required procedures within the timeframe specified by the university.

**Article 27** Students shall be withdrawn from the university under any of the following circumstances:

(I) Accumulating more than 20 failed credits in required courses during their program of study.

(II) Failing to complete semester registration within two weeks after the official deadline without a valid reason (e.g., force majeure) and without completing the necessary procedures for deferred registration.

(III) Failing to apply for reinstatement or an extension of leave within two weeks after the start of the semester following a leave of absence or retention of student status; or failing to meet reinstatement criteria without submitting a request for continued leave.

(IV) Being diagnosed with a serious illness, injury, or disability by the HIT Hospital or a Grade II Level A (or higher) hospital recognized by the university, which renders the student unable to continue their studies.

(V) Being absent from required academic activities for two consecutive weeks without prior approval.

(VI) Failing to fulfill academic requirements within the maximum permitted duration of study.

(VII) Any other circumstances specified by the university that justify withdrawal.

**Article 28** Withdrawal from the university shall be processed as follows:

(I) Students who intend to withdraw voluntarily must submit a written application to their respective school. Upon approval by the school, the application shall be forwarded to the Department of Academic Affairs for official documentation.

(II) In cases where a student meets the conditions for withdrawal as outlined in Article 27, the matter shall be reviewed by the appropriate university leader and submitted to the Presidential Executive Council for deliberation and approval. Upon approval, a formal “Withdrawal Decision” shall be issued by the university, delivered to the student through their school, and recorded in the student’s official academic file.

(III) Students who withdraw shall be issued a certificate of partial completion of studies or a certificate of study.

(IV) Tuition fees will be refunded based on the actual duration of enrollment, calculated monthly. If a student withdraws anytime between the 1st and 15th of a month, they will get a full refund for that month’s tuition. But if they withdraw after the 15th, the tuition for that month will not be refunded.

**Article 29** Students withdrawn from the university must complete the departure procedures as follows:

(I) Upon receiving the “Withdrawal Decision”, students must complete all necessary departure procedures and leave the university within seven working days.

(II) Students withdrawn due to medical reasons must be accompanied and picked up by a close adult relative.

(III) Student archives will be returned to the relevant authorities in their home region, and their hukou (residency registration) will be transferred back to their original or family hukou region in accordance with national regulations.

## **Chapter VIII Graduation, Non-Degree Completion of Studies, and Academic Credentials Management**

**Article 30** Students who, within the prescribed duration of their program, successfully complete all academic requirements as specified in their program, pass all required assessments, fulfill graduation criteria, and meet the “National Standards for Student Physical Fitness” will be eligible for graduation and awarded a graduation certificate. In addition, undergraduate students who meet the relevant requirements outlined in the “Measures for Degree Conferral at Harbin Institute of Technology” shall be awarded a bachelor’s degree certificate.

**Article 31** Students who demonstrate exceptional academic performance and fulfill all program requirements—including credit completion—ahead of schedule may apply for early graduation.

**Article 32** Students who fail to meet graduation requirements within the standard duration of their program shall leave the university with non-degree completion status. In these cases, the university will issue a Certificate of Non-Degree Completion.

**Article 33** Students with non-degree completion status may apply to take any courses they have not previously completed or to retake failed courses, provided this occurs within the maximum allowable study period prescribed by the university. Upon successfully fulfilling the requirements specified in Article 30, these students may apply for a graduation certificate and a bachelor's degree.

**Article 34** If students with non-degree completion status violate university rules, regulations, or applicable laws during their course retake or makeup period, they shall be disqualified for a graduation certificate or bachelor's degree.

**Article 35** The university shall strictly adhere to the recorded type of education, mode of study, and personal information submitted at the time of admission when issuing graduation certificates, degree certificates, and other academic credentials.

Students requesting changes to key personal information—such as name or date of birth—during their studies must submit a formal application, accompanied by a valid reason and legally recognized supporting documentation. After internal verification by the university, the application will be forwarded to the relevant provincial education authority for approval. Upon approval, the university will update the student's records accordingly and issue academic credentials, including graduation and degree certificates, according to the updated information.

**Article 36** The university shall complete the electronic registration of students' academic credentials in a timely manner, in accordance with the national electronic registration regulations for higher education academic credentials.

**Article 37** Students who obtain admission or student status in violation of national or university regulations regarding admissions and examinations shall have their student status cancelled, and shall not be issued any graduation or degree certificates. Any graduation or degree certificates that have already been issued under such circumstances shall be revoked in accordance with applicable laws. If the revoked certificates or degrees have been electronically registered, the university shall cancel the registration and report the matter to the relevant education authorities for official invalidation.

**Article 38** In the event of loss or damage to a graduation or degree certificate, the student may apply for an official statement of academic credentials. Upon verification, the university will issue this statement, which carries the same legal validity as the original certificate.

## **Chapter IX Minor Programs**

**Article 39** Students may apply to pursue a minor during their studies at HIT. Minor programs shall be governed by the "Measures for Management of Undergraduate Minor Programs of Harbin Institute of Technology".

## **Chapter X Disciplinary Actions**

**Article 40** Students who violate examination rules or engage in other forms of misconduct—such as illegal or rule-breaking behavior—shall be subject to admonishment and corrective guidance. Based on the severity of the violation, the following disciplinary actions may be imposed:

- (I) Warning.
- (II) Serious Warning.
- (III) Demerit.
- (IV) Probation.
- (V) Expulsion.

**Article 41** The imposition and lifting of disciplinary actions shall be governed by the “Student Disciplinary Measures of Harbin Institute of Technology” and “Measures for Management of Exam Rules and Disciplinary Actions of Harbin Institute of Technology”.

**Article 42** Students expelled from the university must complete the departure procedures as outlined in Article 29 of these Regulations. The university will issue a certificate of study and an official transcript of completed courses.

## **Chapter XI Student Appeals**

**Article 43** Students whose admission has been revoked, student status canceled, or who have withdrawn, been expelled, or received disciplinary sanctions—and who disagree with the university’s decision—may submit a written appeal to the university. Appeals shall be processed in accordance with the “Measures for Handling Student Appeals of Harbin Institute of Technology”.

## **Chapter XII Supplementary Provisions**

**Article 44** The Undergraduate College is responsible for the interpretation of these Regulations.

**Article 45** These Regulations shall be effective as of the date of issuance. The previous “Regulations for Management of Undergraduate Student Status of Harbin Institute of Technology” (No. 134 [2020], HIT Undergraduate College) are hereby repealed.

# 哈尔滨工业大学深圳校区本科生注册管理实施细则

深教(2025)3 号

**第一条** 为加强教学管理与服务工作，实现学生注册管理规范化，根据《哈尔滨工业大学本科生注册管理实施细则》（校本教务〔2021〕16 号）和《哈尔滨工业大学（深圳）本科生学籍管理规定》（哈工大（深圳）〔2018〕60 号）制定本实施细则。

## **第二条** 报到与注册

（一）新生按学校规定完成报到手续后，教学管理与服务平台自动为学生注册。学生须按教务处通知的时间登录教学管理与服务平台进行信息核对。

（二）除新生外的其他在校生，须在春季和秋季学期开学前，按照当学期的返校和注册通知要求，在规定时间内返校，并按规定方式完成报到注册。夏季学期选课后即认定为已注册，秋季学期返校后，学生须按学校规定缴纳学费，报到注册与缴纳学费均完成后认定为注册生效。

## **第三条** 其它要求

（一）学生在规定时间内返校，但未进行注册的，须于开学两周内本人持有效证件到学部（院）进行补注册。

（二）因故不能在规定时间内返校，请假时间在两周以内的，返校后本人持有效证件到学部（院）进行补注册。

（三）如因疾病、实习等特殊原因无法在开学两周内返校，须在开学两周内向所在学部（院）提交书面报告，学部（院）审核通过后，出具暂缓注册学生名单报教务处备案。学生返校后，由学部（院）负责为学生办理补注册和补选课手续。

（四）未按时完成注册手续的学生，教学管理与服务平台会拒绝其登录请求，由此造成无法选课等后果由学生个人承担。

（五）除因不可抗力等正当事由外，未经请假逾期两周不注册者予以退学处理。

（六）不按校区规定缴费者，学校可取消其注册资格。家庭经济困难的学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。

（七）注册须由学生本人完成，不得由他人代注册。注册所用的学生个人信息须与其身份证保持一致。学生的姓名、地址或其它信息、资料如有更改，须及时报教务处。

# **Rules for Management of Undergraduate Student Registration at Harbin Institute of Technology, Shenzhen**

HITSZ Education Bureau Document No. 3 (2025)

**Article 1** These Rules are established to enhance academic management and services, and to standardize the management of undergraduate student registration. They are formulated in accordance with the “ Rules for Management of Undergraduate Student Registration at Harbin Institute of Technology ” (No.16 [2021], HIT Undergraduate Academic Affairs) and the “Regulations for Management of Undergraduate Student Status of Harbin Institute of Technology, Shenzhen” (No.60 [2018], HITSZ).

## **Article 2** Check-in and Registration

(I) New students are automatically registered through the Academic Management and Service Platform after completing the university's check-in procedures. Students must log into the platform within the time specified by the Office of Academic Affairs to verify and confirm their personal information.

(II) All continuing students must return to campus and complete check-in and registration within the designated period, as announced in the official registration notice for each semester. Enrollment in summer term courses constitutes registration for that term. For the fall semester, registration is considered valid only after students have returned to campus, paid tuition fees, and completed all check-in and registration procedures.

## **Article 3** Other Requirements

(I) Students who return to campus on time but fail to register during the designated period must complete in-person registration at their school, presenting valid identification within two weeks after a semester begins.

(II) Students who are unable to return on time due to valid reasons must apply for a leave in advance. Upon their return, they may register in person at their school with valid identification, provided the delay does not exceed two weeks.

(III) For delays beyond two weeks due to illness, internship, or other exceptional circumstances, students must submit a written request to their school within two weeks after a semester begins. Upon approval, the school will report the deferred registration to the Office of Academic Affairs for record-keeping. The students must complete registration and course selection with their school upon return.

(IV) A student who fails to register on time will lose access to the Academic Management and Service Platform. Any resulting issues, including the inability to enroll in courses, will be their sole responsibility.

(V) Except in cases of force majeure or other justified reasons, students who neither register nor apply for leave within two weeks of the semester start date may face expulsion.



(VI) Students who fail to pay tuition in accordance with university regulations may lose their registration eligibility. Students facing financial difficulties may apply for student loans or other forms of financial aid and register after completing the relevant procedures.

(VII) Students must complete registration in person; delegation is not permitted. All registration information must match students' national identification records. Any changes to personal information (e.g., name, address) must be promptly reported to the Office of Academic Affairs.

# 哈尔滨工业大学研究生学籍管理规定

哈工大研〔2022〕152号

（2017年7月8日哈尔滨工业大学2017年第5次校长办公会议审议通过 2022年6月24日中共哈尔滨工业大学第十三届委员会常务委员会第59次会议审议修订 2022年7月11日哈尔滨工业大学发布）

## 第一章 总 则

**第一条** 为贯彻党和国家的教育方针，维护学校正常的教育教学秩序，保障研究生合法权益，落实立德树人根本任务，培养德智体美劳全面发展的社会主义建设者和接班人，服务社会主义现代化国家建设，依据《中华人民共和国高等教育法》《普通高等学校学生管理规定》（教育部令第41号）以及《哈尔滨工业大学章程》，结合学校实际，制定本规定。

**第二条** 本规定适用于取得哈尔滨工业大学学籍的各类研究生（含港澳台研究生和留学生研究生）。

## 第二章 入学、注册与请假

**第三条** 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/博士学位研究生录取通知书》和学校规定的相关材料，按照规定日期到校办理入学手续。

**第四条** 因故不能按期入学者，应向所在学院（学部、校区）请假，并报研究生院批准，请假不得超过一个月。未请假或请假未被批准逾期两周不报到者或假满逾期两周不报到者，除因经学校确认的不可抗力等正当事由以外，视为自动放弃入学资格。

**第五条** 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和学校招生考试规定情形的，取消入学资格。

**第六条** 新生未经批准逾期两周不按规定缴纳学费和注册学籍，视为自动放弃入学资格。

**第七条** 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；
- （六）是否在其他学位授予单位同时注册攻读学位；
- （七）其他与招生考试及录取相关的重要信息。

**第八条** 学生有以下情况之一的，已经注册学籍的取消学籍，未注册学籍的取消入学资格，情节严重的，学校将移交有关部门调查处理。

- （一）冒名顶替入学的；
- （二）由他人替考获得录取资格或录取优惠资格的；
- （三）录取过程存在隐瞒事实、学术不端、弄虚作假、徇私舞弊等问题的；
- （四）不符合录取条件或录取相关规定的；
- （五）未经学校批准同时在其他学位授予单位注册攻读学位的；
- （六）未按要求参加新生体检，或未按要求提交体检证明的；
- （七）经校医院诊断或确认因身心健康问题不宜在校学习，且拒不申请保留入学资格的；
- （八）因身心健康原因保留入学资格，期满后经校医院或其指定的哈尔滨市三级甲等医院认定仍然未达到入学体检标准或不宜入校学习的；
- （九）存在其他严重违反高校招生录取规定的问题。

**第九条** 新生有下列情况之一，可以申请保留入学资格：

- （一）经校医院诊断或确认因身心健康状况不宜在校学习的；
- （二）定向培养研究生因工作单位公派其短期出境（1年内）不能到校学习的；
- （三）响应党和国家号召，应征参加中国人民解放军、中国人民武装警察部队，或者参与其他政策鼓励、学校认可的项目或活动的；
- （四）因其他经学校认可的原因，不宜或无法入校学习的。

因第九条第三款参军保留入学资格的，可保留至退役后2年；其他原因保留入学资格的，保留时间原则上为1年；另有国家政策或学校规定的，按政策执行。申请保留入学资格的，由本人在开学前或开学后两周内提出书面申请并附相关证明材料，经所在学院（学部、校区）同意，报研究生院审批同意后可以保留入学资格。

新生在保留入学资格期间不缴纳学费，不具有学籍，不享受任何在籍学生待遇。保留入学资格者，应在保留入学资格期间主动与学院（学部、校区）保持联系，并在保留入学资格期满前两周内向学校提出入学申请，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经学校确认的不可抗力延迟等正当理由的，视为放弃入学资格。因身心健康原因保留入学资格者在保留入学资格期内康复的，应持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，方可办理入学手续。

**第十条** 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）。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。

非全日制研究生经学院（学部、校区）和导师确认当学期须回原工作单位进行科研和学位论文工作的，也应当在开学后两周内到校注册并与导师交流学位论文研究工作进展情况，不能如期注册者，必须履行暂缓注册手续，最晚注册时间不迟于开学后一个月。

逾期不办理注册手续者，除因经学校确认的不可抗力等正当事由外，视为主动放弃学籍，予以自动退学处理。

**第十一条** 硕博连读生、直博生经考核进入博士研究生培养阶段，不授予硕士学历学位，学籍按转段处理；博士生经审批转为硕士生培养的，学籍按降段处理。研究生转段、降段后仍在相应学段基本修业年限内的，按照新的学历层次缴纳学费、注册、享受奖助学金和住宿标准等待遇。

**第十二条** 研究生因病、因事等情况不能按时到校参加培养方案规定的活动，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，学院（学部、校区）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、学院（学部、校区）主管领导批准，并报研究生院备案。一学期累计请假时间一般不得超过一个月，超过一个月的须办理休学。

**第十三条** 研究生参加由学校、学院（学部、校区）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须报研究生院备案。

**第十四条** 研究生在学期间出国（境）留学、联合培养、实习实践和参加学术会议等事宜按照实际派出项目要求进行管理。

**第十五条** 研究生不能按时参加培养方案规定的活动，未请假或请假未批准擅自不参加，给予批评教育，情节严重的，给予纪律处分或者予以退学处理。

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。

### 第三章 考核与成绩记载

**第十六条** 研究生应当参加培养方案规定的课程和培养环节的考核，课程和培养环节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。

**第十七条** 经学校同意，研究生可以修读学科认可的开放式网络课程和跨校修读研究生课程。修读的开放式网络课程和跨校课程成绩（学分）以及入学前按学校规定修读且考核合格的研究生课程成绩（学分），经学校审核后予以认定。研究生修读的开放式网络课程和跨校课程成绩一般不计入竞争性奖助学金的评定依据。

**第十八条** 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。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》办理。

**第十九条** 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试纪律及考试违纪处分管理办法》办理。

**第二十条** 未经批准，研究生不按时参加培养方案规定的教学活动，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** 研究生应当参加科学道德与学风建设学习，自觉遵守学术研究规范，恪守学术诚信。对存在学术不端行为的，按《哈尔滨工业大学学术道德规范》《哈尔滨工业大学学位论文作假行为处理办法实施细则》等规定给予相应的处理、处分。

#### **第四章 转学科（专业）、转导师与转学**

**第二十二条** 研究生一般应在被录取的一级学科或专业学位类别（简称“专业”）完成学业。如因学科（专业）调整、导师变动、身心健康和专业特长等原因需要转学科（专业）的，可申请转学科（专业）。研究生转学科（专业）后，需要完成转入学科（专业）培养方案规定的课程学习等培养环节。

**第二十三条** 研究生入学未满一年的，一般不得转学科（专业）。研究生在学期间只允许办理一次转学科（专业）事宜。研究生转学科（专业）应经转出和转入学院（学部、校区）、学科（专业）、导师同意，并经转入学科（专业）考核通过后报研究生院审批。研究生不得因转学科（专业）而超过最长修业年限。

**第二十四条** 申请转学科（专业）者，学位类型和学习形式一般不得更改。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（专业）。

**第二十五条** 研究生在读期间可申请变更导师，研究生申请变更导师应书面阐明理由，一般经原导师和新导师同意，所在学院（学部、校区）批准后，方可变更导师。如原导师不同意学生转导师申请，经学校指定的专门工作小组调查认为原导师在指导过程中存在明显过错或不适合继续指导该生，经学院（学部、校区）批准后，可以变更导师；调查认定研究生变更导师的申请不合理或理由不属实，研究生仍不接受原导师继续指导的予以退学。

**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、学院（学部、校区）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。

学校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、保留学籍与复学

**第二十八条** 研究生可以在学校规定的最长修业年限内分阶段完成学业。研究生申请休学或者学校认为应当休学者，由学校批准后，可以休学。研究生休学时间一般以半年或一年为期，全日制研究生因创业休学一般累计不得超过两年，其他原因休学的一般累计不得超过一年。

**第二十九条** 研究生有下列情况之一者，需申请休学：

- （一）存在身心健康状况不宜在校学习的；
- （二）一学期累计请假时间超过一个月以上者；
- （三）全职创业或由于个人原因到意向就业单位实习时间超过一个月者；
- （四）定向就业类研究生因单位工作需要中断学业时间超过一个月者；
- （五）研究生因生育需要者；
- （六）不能坚持正常学习，导师和所在学院（学部、校区）认为必须休学者；
- （七）因其他原因需中断学业时间超过一个月者。

**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、所在学院（学部、校区）及研究生院批准后，方可休学。对于导师和所在学院（学部、校区）认为必须休学者，由导师提交该研究生休学建议，经所在学院（学部、校区）同意和学校批准后，可强制休学。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** 休学学生须办理休学手续离校。休学期间，学校为学生保留学籍，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。

**第三十二条** 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），可保留学籍至退役后2年。保留学籍研究生应办理离校手续，保留学籍期间，不享受在校研究生待遇，学校对其不承担任何法律责任。

**第三十三条** 休学、保留学籍的研究生，应在休学、保留学籍期间主动与学院（学部、校区）保持联系，并在休学、保留学籍期满前两周内向学校提出复学申请，经导师同意、学院（学部、校区）主管领导批准及研究生院备案后复学。因病休学者，应持三级甲等以上医院提供的健康证明，经学校复学研判专家组评估后认为其身心状况可以在校学习生活的，准予复学。休学、保留学籍期满两周后仍未办理复学或继续休学手续者，视为主动放弃学籍，按自动退学处理。

**第三十四条** 研究生在休学或保留学籍期间如有严重的违纪违法行为，学校将取消其复学资格。

## 第六章 分流与退学

**第三十五条** 博士研究生（含硕博连读生和直博生）在最长修业年限内，学位课经重修或改修后仍有两门次课程不合格者，或综合考评、开题、中期检查等必修培养环节连续两次

未通过者，或确因身体、能力等原因无法继续完成博士学业者，一般应予以退学，但经所在学科综合考核后认为其符合硕士研究生培养条件的，可以提出转为硕士研究生培养。

**第三十六条** 符合分流条件的博士研究生，按以下方式执行分流：

（一）直博生，经本人申请，并经导师、学院（学部、校区）及研究生院批准，可转为同类型（学术学位/专业学位）、同学科/类别的硕士研究生，学校按照相应硕士研究生的要求对其培养。

（二）硕博连读研究生，根据下述具体情况实施分流：

（1）相同一级学科/类别硕博连读研究生，经本人申请，并经导师、学院（学部、校区）及研究生院批准，可转为同学科/类别的硕士研究生，学校按照相应硕士研究生的要求对其培养。

（2）跨一级学科/类别硕博连读研究生，经本人申请，并经导师、学院（学部、校区）及研究生院批准，可转为现学科/类别的硕士研究生，学校按照相应硕士研究生的要求对其培养。如果本人希望退回到原学科/类别，必须经本人申请，并经过现就读学院、拟接收学院以及拟接收导师及研究生院批准后，学校按照原学科/类别的硕士研究生的要求对其培养。

（三）已获得硕士学位的博士研究生，根据下述具体情况实施分流：

（1）现在所学学科/类别与已获得硕士学位的学科/类别不相同，或非本校硕士毕业生源，经本人申请，并经导师、所在学院（学部、校区）及研究生院批准后，学校按照相应硕士研究生的要求对其培养。

（2）现在所学学科/类别与已获得硕士学位的学科/类别相同的本校硕士毕业生源，则予以终止培养并退学。

符合上述分流条件的直博生和普通博士生自入学起算，硕博连读生自硕士入学起算，分流时转为硕士培养仍在硕士基本修业年限内的，学校按照相应硕士修业年限要求继续对其培养。分流时已超出硕士基本修业年限的，须自分流起一年内完成学业并通过硕士学位论文答辩，到期仍不能通过硕士学位论文答辩，符合结业条件的予以结业，不符合结业条件的终止培养并退学。

**第三十七条** 符合分流条件的博士生可提出分流申请，由学生本人填写《博士研究生申请转为硕士研究生培养/答辩审批表》，经研究生的导师、所属学院（学部、校区）、拟接收导师、拟接收学院（学部、校区）及研究生院同意后办理后续相关手续。

**第三十八条** 研究生本人申请退学的，经学校审核同意后，办理退学手续。

**第三十九条** 研究生有下列情形之一的且本人未申请退学的，学校予以退学处理：

（一）达到学校规定的基本修业年限，未在学校规定期限内提交延长修业年限申请，或者申请延长修业年限但未获批准者；

（二）在学校规定的最长修业年限内未毕业或者未结业者；

（三）未请假或者请假未获批准，逾期两周未注册者（因不可抗力等正当事由除外）；

（四）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、研究活动者；

（五）在一个学期内请假累计超过 1 个月以上而又未按规定办理休学手续者；

（六）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者；

（七）保留入学资格期满在学校规定期限内未提出入学申请者；

（八）未按学校规定按时缴纳学费者；

（九）学位课经重修或改修后仍有两门次课程不合格者；

（十）综合考评（测评）、开题、中期检查等设置有学分的必修培养环节连续两次未通过且未以其他方式分流者；

（十一）因业务基础差或其他原因，经学校认定难以坚持完成学业者；

（十二）经校医院诊断或确认，身体条件不便、患有疾病或者意外伤残无法继续在校学习者；

（十三）档案存在弄虚作假、缺少关键材料等情况者；

（十四）未经学校批准到其他学校注册学生学籍或攻读学位者；

（十五）因其他原因，经学校认定应当退学者。

对上述（一）至（八）款描述的退学情形，视为学生自动放弃或失去学籍，经研究生院审核后办理自动退学手续，对于符合上述其他条款描述情形的研究生退学处理，由校长授权的专门会议研究决定。在对研究生作出退学处理决定前，按规定程序提前告知研究生作出决定的事实、理由和依据，给予研究生陈述和申辩的权利。退学处理决定书直接送达研究生本人，研究生拒绝签收的，以留置方式送达；已离校的，可以采取邮寄方式送达或采取电子邮件、微信等电子通讯方式送达；难于联系的，可以采用学院网站公告的方式送达。

**第四十条** 研究生退学的后续问题按下列办法处理：

（一）退学的研究生，按已有毕业学历和就业政策可以就业的，由学校报省级毕业生就业部门办理相关手续；

（二）退学研究生的档案由学校退回其家庭所在地，户口按照国家相关规定迁回原户籍地或者家庭户籍所在地；

（三）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，并在两周内离校；

（四）学费退还事宜按国家和学校财务规定执行。

**第四十一条** 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、结业与学位授予

**第四十二条** 研究生基本修业年限：硕士生为 2~3 年（各学科专业硕士研究生基本修业年限在当年招生章程中公布）；博士生为 4 年；硕博连读、直博生为 5 年。



研究生最长修业年限（含一般休学）：全日制硕士生为4年，非全日制硕士生为5年，硕士起点的博士生为6年，硕博连读、直博生（含硕士阶段）为7年。

研究生因创业休学和因应征参加中国人民解放军（含中国人民武装警察部队）服兵役保留学籍的，其休学和保留学籍时间可不计算在修业年限内，基本修业年限和最长修业年限相应顺延。

**第四十三条** 研究生在学校规定的年限内，修完培养方案规定的内容，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。研究生提前完成培养方案规定的内容，可以申请提前毕业。

**第四十四条** 研究生在基本修业年限内，未完成培养方案规定的全部培养环节，或有培养环节考核未达到要求，未给予退学处理的，可以申请延长修业年限。

拟申请延长修业年限的研究生应在学习期满前两周内提出书面申请，经导师、所在学院（学部、校区）同意，报研究生院审批同意后可以延长修业年限。研究生每次申请延长修业年限时间不超过一年，且申请延长后的最后毕业期限不能超过最长修业年限。

**第四十五条** 研究生在基本修业年限内完成培养方案规定的全部课程学习和培养环节可申请结业，或者修满基本修业年限尚未达到毕业要求的研究生可准予结业。结业后，达到学位申请条件的研究生，可在申请学位的最长年限内向学校申请答辩。答辩通过的可用结业证书换发毕业证书，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。

研究生申请学位的最长年限：硕士生为6年，硕士起点的博士生为8年，硕博连读、直博生（含硕士阶段）为9年。

**第四十六条** 通过答辩的研究生应及时将学位论文提交校学位评定委员会审核，审核通过后授予相应学位。研究生原则上应在答辩通过后12个月内，向校学位评定委员会提交学位论文进行学位审核，经校学位评定委员会审核未投票表决的学位论文，也应在12个月内完成修改并重新提交校学位评定委员会审核，逾期不再受理。学位论文提交校学位评定委员会审核未投票表决的次数一般不超过两次。

**第四十七条** 在校学习时间满一年的退学研究生，可以发给肄业证书；在校学习时间未滿一年的退学研究生，可以开具写实性学习证明。

**第四十八条** 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，学生一般应于终止学籍之日起两周内办理完离校手续并离校，通过学位论文答辩已毕业的博士研究生，为了完善学位论文，可申请延迟最多3个月办理离校手续并离校。

## 第八章 学业证书管理

**第四十九条** 学校严格按照研究生招生录取时确定的办学类型和学习形式，以及填报的个人信息，按照国家有关规定填写、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。

**第五十条** 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。

**第五十一条** 对违反国家招生规定取得入学资格或者学籍的学生，学校将取消其学籍，不发学历证书、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、学位证书的学生，学校依法对其证书予以撤销。对于毕业后被发现在读期间有达到开除学籍处分程度的违反法律法规及学校纪律行为，已获得学历证书、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证书失效。

**第五十二条** 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

**第五十三条** 按照国家和学校有关规定，对于品学兼优的研究生经过评选分别采取授予荣誉称号或者颁发奖学金等形式，给予相应的精神鼓励或者物质奖励。

**第五十四条** 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。

**第五十五条** 研究生有下列情形之一的，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。

**第五十六条** 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，采取邮寄方式送达或采取电子邮件、微信等电子通讯方式送达；难于联系的，利用学校学院（学部、校区）网站等以公告方式送达。

**第五十七条** 学生主动申请放弃入学或未按规定期限报到属于自动放弃入学资格情形的，学生主动申请退学或属于前述退学条款中规定的自动放弃（失去）学籍情形的，研究生院审核后办理相关手续，其他情形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处理或者处分决定的，提交校长授权的专门会议研究决定。

**第五十八条** 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

**第五十九条** 在我校以同等学力人员方式申请学位的学生参照本规定执行。

**第六十条** 本规定由研究生院、学生工作部（处）/团委负责解释。

**第六十一条** 本规定自 2022 年 9 月 1 日开始施行。原《哈尔滨工业大学研究生学籍管理规定》（哈工大研〔2017〕403 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。

# **Regulations for Management of Graduate Student Status of Harbin Institute of Technology**

No. 152 [2022], Graduate School, HIT

(Reviewed and approved at the 5th meeting of the Presidential Executive Council of Harbin Institute of Technology on July 8, 2017, revised at the 59th meeting of the Standing Committee of the 13th CPC Committee of Harbin Institute of Technology on June 24, 2022, and issued by Harbin Institute of Technology on July 11, 2022)

## **Chapter I General Provisions**

**Article 1** These Regulations are formulated to implement the educational policies of the Communist Party of China (CPC) and the State, maintain the educational order at Harbin Institute of Technology (HIT), protect the legitimate rights and interests of graduate students, and achieve the goal of fostering virtue through education. By nurturing well-rounded talents, these Regulations aim to contribute to the development of both the Party and the nation. Based on the “Higher Education Law of the People's Republic of China”, “Regulations for Management of Students in Regular Higher Education Institutions” (Order No.41 of the Ministry of Education), and the “Statute of Harbin Institute of Technology”, this document takes into account the specific circumstances of HIT.

**Article 2** These Regulations apply to all registered graduate students at Harbin Institute of Technology, including international students and those from Hong Kong, Macao, and Taiwan.

## **Chapter II Admission, Registration, and Leave**

**Article 3** Newly admitted graduate students, accepted in accordance with national admission regulations, must bring their “Harbin Institute of Technology Admission Notice for Master’s/Doctoral Degree Students” and the required materials specified by the university to complete the registration procedures on the designated date.

**Article 4** Students who are unable to register on time must request a leave of absence from their college (department or campus) and obtain approval from the Graduate School. The leave may not exceed one month. Students who fail to register within two weeks after the deadline or after their approved leave period, without having submitted an application for leave or receiving approval, will forfeit their eligibility for admission. However, valid exceptions, such as cases of force majeure, may be considered if verified by the university.

**Article 5** New students will receive a preliminary verification of their admission qualifications upon arrival. Those who pass can proceed with their registration. Discrepancies between the provided documents, such as the admission notice and other information, and the actual circumstances of the student, or violations of admission regulations, may lead to revocation of admission.

**Article 6** New students who fail to pay tuition fees and register within two weeks after the deadline without approval will be considered to have forfeited their admission eligibility.

**Article 7** Within 3 months after registration, the university will re-check the qualifications of the new students in accordance with national regulations. This review will cover the following aspects:

- (1) Compliance of admission procedures and processes with national regulations;
- (2) Authenticity and validity of admission qualifications;
- (3) Consistency of the students' personal information and identification with the admission notice and exam candidate records;
- (4) Whether the students' physical and mental health meets the medical requirements of the program they chose and ensures their ability to study and live normally at the university;
- (5) Whether the professional competence of students admitted to special programs such as arts and sports meets the admission requirements;
- (6) Whether the students are simultaneously registered for a degree program at another institution;
- (7) Other important information related to the admission and examination processes.

**Article 8** Enrollment will be revoked for registered students or admission canceled for unregistered students under any of the following circumstances. In severe cases, the university will refer the matter to the relevant authorities for further investigation and action.

- (1) Admission gained through impersonation;
- (2) Admission qualification or preferential admission obtained through someone else taking the exam for them;
- (3) Concealment of information, academic misconduct, fraud, or nepotism during the admission process;
- (4) Failure to meet admission criteria or relevant regulations;
- (5) Simultaneous registration in a degree program at another institution without approval;
- (6) Failure to participate in the required medical examination for new students or to submit the required medical documents;
- (7) Being diagnosed or confirmed by HIT Hospital as unfit for on-campus study due to physical or mental health issues and refusing to apply for deferred admission;
- (8) After deferring admission for physical or mental health reasons, failing to meet medical examination standards or being deemed unfit for on-campus study upon re-evaluation by HIT Hospital or a designated Grade-III Level-A hospital in Harbin when the deferral ends;
- (9) Any other serious violations of university admission regulations.

**Article 9** New students may apply to defer their admission under any of the following circumstances:

- (1) Being diagnosed or confirmed by HIT Hospital as unfit for on-campus study due to physical or mental health issues;
- (2) Graduate students in targeted programs who are sent outside the Chinese mainland for short-term assignments (within 1 year) by their employers;

(3) Enlistment in the Chinese People's Liberation Army or the Chinese People's Armed Police Force in response to national service calls, or participation in other HIT-recognized and policy-supported projects or activities;

(4) Any other reasons recognized by the university that render them unsuitable or impossible to start studies on campus;

For students deferring admission due to military service under Item (3), the deferral can extend up to 2 years after discharge. For other reasons, the deferral period is typically 1 year, unless otherwise specified by national policies or university regulations. To defer admission, students must submit a written application with supporting documents and receive approval from their college, department, or campus, as well as from the Graduate School, before the registration date or within the first two weeks of the initial term.

During the deferral, students are exempt from tuition and do not hold student status or associated rights and privileges. Students must maintain contact with their college (department or campus) during the period and submit a re-admission application within two weeks before the deferral ends. If approved, they may proceed with the admission process; if not, their admission will be canceled. Failure to apply for re-admission within two weeks after the deadline, without a valid reason verified by the university, will be considered a waiver of admission. Students who defer admission for health reasons and recover during the deferral period must submit a health certificate from a Grade-II Level-A hospital. Additionally, they must pass a re-examination at HIT Hospital or another designated hospital before they can continue with the admission process.

**Article 10** Graduate students must return to the university at the beginning of the spring and fall terms on the specified date and complete the registration process within two weeks. The summer term follows the registration status of the spring term. Students who have not paid tuition or do not meet other registration requirements will not be registered. Graduate students facing financial difficulties can apply for student loans or other forms of financial aid and register after completing the relevant procedures.

Part-time graduate students who need to return to their original workplace for research and thesis work, as confirmed by their college/department/campus and supervisor, must register within two weeks of the term's start and discuss their thesis progress with their supervisor. If they are unable to register on time, they must apply for deferred registration, with the latest possible registration date being one month after the term begins.

Students who fail to register on time, except for valid reasons recognized by the university, such as force majeure, will be considered to have voluntarily forfeited their student status and will be automatically withdrawn from the university.

**Article 11** Students in Combined Master's-Doctoral Programs and Direct-Entry Doctoral Programs who progress to the doctoral phase after assessment will not receive a master's degree; instead, their academic status will be upgraded to reflect their new level. Conversely, doctoral students who, with approval, switch to a master's program will have their academic status downgraded. Following an

upgrade or downgrade, students who remain within the standard duration of the corresponding phase will pay tuition, register, and receive scholarships, financial aid, and accommodation benefits according to their updated academic status.

**Article 12** Graduate students who are unable to participate in the required activities of their program on time due to illness, personal matters, or other reasons must request leave in advance. For leave up to two weeks, students need supervisor approval and must notify their college/department/campus for record-keeping. For leave between two weeks and one month, students must submit an application, get supervisor consent, and obtain approval from college/department/campus leadership, with notify the Graduate School for record-keeping. Generally, leave should not exceed one month per term; otherwise, a suspension of studies is needed.

**Article 13** Off-campus activities such as internships, social practice, research work, or academic exchanges organized or arranged by HIT, its departments, or student supervisors are considered official business. The departments assigning graduate students to these activities are responsible for their approval and management. Activities lasting two weeks or more must be reported to the Graduate School for record-keeping.

**Article 14** Activities such as graduate students studying outside China's mainland, participating in joint training programs, internships, social practices, and academic conferences during their program are managed according to specific requirements for each activity.

**Article 15** Graduate students who fail to participate in the required activities of their program on time, without approved leave or authorization, will face a reprimand. In severe cases, they may be subject to further disciplinary actions or expulsion.

HIT assumes no legal responsibility for the actions of graduate students during their leave or any unauthorized absences.

### **Chapter III Student Assessment and Grade Recording**

**Article 16** Graduate students must participate in the assessments of courses and training modules specified in their program. These assessments are conducted in the form of either exams or evaluations. Grades from these assessments will be recorded on their transcripts and included in their academic records.

**Article 17** With the university's approval, graduate students may enroll in open online courses and graduate courses from external institutions recognized by HIT. Grades and credits from these courses, as well as those earned prior to admission in accordance with university regulations, will be acknowledged upon verification. Generally, grades from open online courses and courses taken at external institutions will not be considered in the eligibility evaluations for competitive scholarships.

**Article 18** The university will accurately and completely record and issue students' academic grades, including grades obtained through retakes. Matters about graduate course assessments and grade

recording are subject to the “Measures for Management of Graduate Course Assessments and Grade Recording of Harbin Institute of Technology”.

**Article 19** If a graduate student cheats or violates exam rules, their exam grade will be invalidated, and their transcript will be marked with “disciplinary violation” or “cheating”. Depending on the severity of the violation, appropriate disciplinary measures will be applied. Students who receive a warning, severe warning, demerit, or are placed on probation may be permitted to retake the course if they demonstrate improved behavior subsequently.

The response to exam rule violations and cheating is governed by the “Measures for Management of Exam Rules and Disciplinary Actions of Harbin Institute of Technology”.

**Article 20** Graduate students who fail to participate in the required academic activities of their program without approval, or who miss 1/3 or more of the classes, will not be allowed to take the course assessment. “Disqualified from Exam” will be noted on their transcript, and they may face disciplinary actions based on the severity of the case.

**Article 21** Graduate students should learn about scientific ethics and academic conduct, adhere to established research standards, and maintain academic integrity. Any cases of academic misconduct will be addressed in accordance with the “Academic Ethics Code of Harbin Institute of Technology” and the “Rules for Handling Academic Misconduct in Theses and Dissertations of Harbin Institute of Technology”.

## **Chapter IV Change of Program, Supervisor, and University**

**Article 22** Graduate students are generally expected to complete their studies within the program to which they were initially admitted. However, if changes are necessary due to program adjustments, supervisor changes, health issues, or shifts in academic focus, students may apply to transfer to another program. Upon approval, they must complete all required courses and training components for their new program.

**Article 23** Students who have been enrolled for less than one year are generally not permitted to change their program. Each student is allowed to change their program only once during the standard duration of study. This change requires approval from their original and new college, department, campus, and supervisor, and must be approved by the Graduate School following an assessment by their new department. Changing programs should not extend the maximum duration of their studies.

**Article 24** When applying to change a program, the type of degree and form of study generally cannot be changed. Graduate students admitted through special means, where national regulations or pre-admission agreements with the university specify restrictions, are not allowed to change their program.

**Article 25** Students may request a change of supervisor by submitting a written application explaining their reasons. This change requires the consent of both their current and new supervisors



and approval from their department, college, or campus. If the current supervisor disagrees, the university will designate a special committee to investigate the situation. If the investigation finds the current supervisor at fault or unsuitable, the corresponding department may approve the change. However, if the request is deemed unreasonable or the reasons provided are found to be invalid, and the student refuses to work with the current supervisor, the student may face expulsion.

**Article 26** Graduates students are generally not permitted to transfer to another university. However, if a student is unable to continue at HIT due to illness or special circumstances, they may apply for a transfer. Transfers are not allowed under the following conditions:

- (1) Within the first term of enrollment or within one year before graduation;
- (2) From a lower degree level to a higher level;
- (3) For students admitted through targeted programs;
- (4) If the admission standards of the intended university or its program are higher than those of HIT or its program;
- (5) Without a valid reason for the transfer.

If a transfer is necessary due to changes in university conditions or other circumstances beyond a student's control, HIT will provide a certification, and the provincial education department will assist in transferring the student to another university of equivalent status.

**Article 27** To initiate a university transfer, students must submit an application for approval to their supervisor, department, college/campus leaders, and the Graduate School. Consent from both HIT and the intended university is required. For an inter-provincial transfer, the education departments of both the current and receiving provinces will verify the transfer conditions and coordinate the process. If students need to transfer their hukou (household registration), the education department of the receiving province will send the relevant documents to the local public security department near the new university.

HIT will make public the relevant information of the transfer, and the new university will report the transfer to their provincial education department within 3 months after completion.

## **Chapter V Leave of Absence, Retention of Student Status, and Reinstatement**

**Article 28** Graduate students may complete their studies in stages within the maximum duration specified by the university. Graduate students may take a leave of absence with the university's approval, either upon request or if deemed necessary by the university. A leave of absence is typically for six months to one year. Full-time graduate students may take up to two cumulative years of leave for entrepreneurial purposes and up to one year for other reasons.

**Article 29** Graduate students must apply for a leave of absence under the following circumstances:

- (1) Physical or mental health issues that render them unfit to continue studies on campus;
- (2) Accumulated leave exceeding one month in a term;
- (3) Full-time entrepreneurship or internships at a prospective employer lasting over one month for personal reasons;

- (4) Graduate students in targeted employment programs who need to interrupt their studies for over a month due to work commitments;
- (5) Leave for childbirth;
- (6) Inability to continue normal studies, as determined by their supervisor and department/college/campus;
- (7) Any other reasons that necessitate a study interruption exceeding one month.

**Article 30** A graduate student may apply for a leave of absence through the graduate student system for the reasons mentioned above, with relevant documentation attached. Approval is required from their supervisor, department/college/campus, and the Graduate School. If their supervisor and department/college/campus determine that a leave of absence is necessary, the supervisor can submit a recommendation for the student's leave. Upon approval from the department/college/campus and the university, this may result in a mandatory leave. Targeted-employment graduate students must also obtain consent from their employer and provide proof of this consent.

**Article 31** Students on leave must complete the necessary procedures to leave the university. During the leave, the university will retain their student status, but they will not enjoy the rights and privileges of enrolled graduate students, and the university is not legally responsible for their actions.

**Article 32** Graduate students enlisted in the Chinese People's Liberation Army (or the Chinese People's Armed Police Force) may retain their student status until 2 years after their discharge. These students must complete the necessary procedures to leave the university. During the retention period, they will not enjoy the rights and benefits of enrolled graduate students, and the university is not legally responsible for their actions.

**Article 33** Graduate students on leave with student status retained must maintain contact with their department/college/campus during their leave and apply for reinstatement within two weeks before the leave or retention period ends. Reinstatement requires the consent of their supervisor, approval from their department/college/campus leaders, and registration with the Graduate School. Students on medical leave must provide a health certificate from a Grade-III Level-A hospital, and their physical and mental condition must be evaluated and deemed fit for returning to campus by the university's reinstatement evaluation team. Students who do not apply for reinstatement or for an extension of leave within two weeks after the leave period ends will be considered to have voluntarily abandoned their student status and withdrawn from the university.

**Article 34** Graduate students who commit serious disciplinary or legal violations during their leave or status retention period will have their eligibility for reinstatement revoked by the university.

## **Chapter VI Academic Redirection and Withdrawal**

**Article 35** Doctoral students, including those in combined master's-doctoral programs and direct-entry doctoral students, may be dismissed from the university under any of the following conditions within the maximum duration of their studies:

- (1) Failing two courses, even after retaking them;
- (2) Failing mandatory training components such as comprehensive evaluation, dissertation proposal, or mid-term report of dissertation twice;
- (3) Being unable to continue their doctoral studies due to health, academic performance, or other reasons. However, if a comprehensive evaluation by their department indicates that they meet the requirements for a master's program, they may be transferred to a master's program.

**Article 36** Doctoral students who do not qualify to continue their program may be redirected to a master's program under the following rules:

(I) Direct-entry doctoral students may apply to transfer to a master's program in the same field as their current studies (academic or professional degree) with the approval of their supervisor, department/college/campus, and the Graduate School. Upon transfer, the requirements of the new program will apply accordingly.

(II) Combined master's-doctoral students will be transferred based on the following conditions:

1.If they are in the same-discipline programs, they may apply to transfer to a master's program in the same field, subject to the approval of their supervisor, department/college/campus, and the Graduate School. Upon transfer, the requirements of the new program will apply accordingly.

2.If they are in the cross-disciplinary programs, they may apply to transfer to a master's program in their current field, subject to the same approvals as above. Upon transfer, the requirements of the new program will apply accordingly. If students wish to return to their original field, they must apply for approval from their current department, the intended department, the new supervisor, and the Graduate School. Upon return, the requirements for their original program will apply accordingly.

(III) Doctoral students with a master's degree will be transferred based on the following conditions:

1.If their current field of study differs from their previous master's degree or was obtained from another university, they may apply to transfer to a master's program in their current field, subject to the approval of their supervisor, department/college/campus, and the Graduate School. Upon transfer, the requirements of the new program will apply accordingly.

2.If their current field of study is the same as their previous master's degree obtained from HIT, they are not eligible for the transfer and will be dismissed from the university.

For direct-entry and regular doctoral students, the time spent in the doctoral program will count toward their master's program duration. Combined master's-doctoral students will have their time counted from the start of their master's studies. If the transfer occurs within the standard duration of their master's phase, the duration requirements of the corresponding program will apply. If the transfer occurs outside the standard duration, they must complete their studies and defend their master's thesis within one year after transfer. Failure to defend the thesis within this period will lead to a certificate of completion instead of a degree, if eligible; if not eligible, they will be dismissed from the university.

**Article 37** Doctoral students eligible for transfer to a master's program can apply by filling out the "Application for Transfer from Doctoral to Master's Program/Thesis Defense". The application

requires approval from the student's current and prospective supervisors, departments/colleges/campuses, and the Graduate School.

**Article 38** Graduate students who voluntarily apply for withdrawal from HIT must have their application reviewed and approved by the university to complete withdrawal procedures.

**Article 39** If a graduate student meets any of the following conditions but does not voluntarily apply for withdrawal, the university will initiate dismissal procedures:

- (1) Fails to apply for an extension of the study period after reaching the standard duration without meeting the graduation requirements, or having an extension application denied;
- (2) Fails to graduate or complete their program within the maximum duration allowed;
- (3) Fails to register for an academic term within two weeks after the deadline without an approved leave (except in cases of force majeure);
- (4) Is absent from the university for over two weeks without approval, or fails to return within two weeks after an approved leave ends, or does not participate in required academic or research activities for two consecutive weeks without approval;
- (5) Accumulates more than 1 month of leave in a term without an approved application for a leave of absence;
- (6) Fails to apply for reinstatement or fails to qualify for reinstatement after the leave of absence or retention of student status period ends without applying for an extension;
- (7) Fails to apply for registration for formal studies after the deferred admission period ends;
- (8) Fails to pay tuition on time as required by the university;
- (9) Fails two or more retaken or substituted courses;
- (10) Fails required academic components such as comprehensive evaluations, thesis/dissertation proposal, or mid-term report of thesis/dissertation twice without being transferred to another program;
- (11) Is unable to complete their studies due to poor academic performance or other reasons as confirmed by the university;
- (12) Is diagnosed or confirmed by HIT Hospital as having physical conditions, illnesses, or disabilities that render them unable to continue studying on campus;
- (13) Has false or incomplete documents in their student archives;
- (14) Registers as a student or pursue a degree in another university without approval from HIT;
- (15) Any other reasons deemed by HIT as grounds for dismissal;

Under conditions (1) through (8), the student will automatically forfeit their student status, and the Graduate School will initiate the withdrawal process upon verification. For the other conditions, a special meeting, authorized by the university president, will be held to determine the appropriate dismissal action for the student. Before a final decision of dismissal is made, the student will be informed of the facts, reasons, and basis for the decision and will have the right to present their case and defend themselves. The decision will be delivered directly to the student. If the student refuses to accept it, the decision will be served by leaving it at their usual place of abode; if the student has left the university, it may be sent by mail, email, or other electronic communication methods. In cases where contact with the student proves difficult, the decision may be published on their college's website as an alternative means of delivery.

**Article 40** The following procedures apply to graduate students who are dismissed:

- (1) For dismissed students who meet employment eligibility criteria based on their education level and applicable employment policies, the university will report their status to the provincial graduate employment department to facilitate the necessary procedures;
- (2) The students' archives will be returned to their home location, and their hukou will be returned to their original or family hukou location according to national regulations;
- (3) From the month following the dismissal announcement, the students will no longer receive scholarships, stipends or other financial aids and must leave the university within two weeks;
- (4) Tuition refunds will be handled according to national and university financial regulations.

**Article 41** Graduate students who disagree with their dismissal or other related matters may appeal according to the "Measures for Handling Student Appeals of Harbin Institute of Technology". Dismissed students are not eligible to apply for reinstatement.

## **Chapter VII Graduation, Completion, and Degree Conferral**

**Article 24** The standard duration of study for graduate students is as follows:

Master's Students: 2-3 years (the specific duration for each program is detailed in the annual admissions brochure).

Doctoral Students: 4 years.

Combined Master's-Doctoral and Direct-Entry PhD Students: 5 years.

The maximum duration of study (including regular leave of absence):

Full-Time Master's Students: 4 years.

Part-Time Master's Students: 5 years.

Doctoral Students (with a master's degree): 6 years.

Combined Master's-Doctoral and Direct-Entry Doctoral Students: 7 years (including the master's phase).

For students taking a leave of absence due to entrepreneurship or military enlistment in the Chinese People's Liberation Army (or the Chinese People's Liberation Army) while retaining student status, the period on leave will not count toward their study duration. The standard and maximum durations will be extended accordingly.

**Article 43** Graduate students who complete all required components of their program, attain passing grades, fulfill thesis/dissertation requirements, and successfully defend their thesis/dissertation within the prescribed timeframe will be awarded a graduation certificate. Additionally, they will receive a degree certificate if they meet the criteria for degree conferral. Students who complete their program ahead of schedule may apply for early graduation.

**Article 44** Graduate students who fail to meet all graduation requirements within the standard study period but are not dismissed may apply for an extension of their study period.

To request an extension, students must submit a written application at least two weeks before the end of their standard study period. The application requires approval from their supervisor and department/college/campus before being submitted to the Graduate School for final approval. Each extension is granted for up to one year, and the total study period, including extensions, must not exceed the maximum duration of study.

**Article 45** Graduate students who complete all required courses and curriculum components within the standard program duration may apply for a completion certificate. Those who have reached the end of the standard duration but have not yet fulfilled all graduation requirements may also be eligible to apply for a completion certificate. Upon completing the program, students who meet the degree application criteria may apply for a thesis or dissertation defense within the maximum period allowed for degree completion. Students who pass the defense may convert their completion certificate into a graduation certificate, which will be dated on the day of the defense. Those who meet the degree conferral criteria will also receive their corresponding degree.

Students have up to 6 years to complete a master's degree, 8 years for a doctoral degree (if they already hold a master's degree), and 9 years for a combined master's-doctoral or direct-entry doctoral program, which includes the master's phase.

**Article 46** Students who pass their defense should promptly submit their thesis/dissertation to the university's Academic Degree Evaluation Committee for review. Upon approval, the corresponding degree will be awarded. Theses/dissertations should be submitted to the Academic Degree Evaluation Committee within 12 months after passing the defense. If revisions are required, the revised thesis/dissertation must be resubmitted within the same 12-month period. Submissions beyond this period will not be accepted. Generally, a thesis or dissertation may be submitted to the Academic Degree Evaluation Committee for approval up to two times without a committee vote to determine the outcome.

**Article 47** Students who withdraw after studying at the university for at least one year may receive a certificate of completion. Those who withdraw before completing one year of study will receive a proof document of their academic experience.

**Article 48** Upon graduation, completion, or withdrawal, student status will automatically terminate from the date of approval. The university will no longer bear any legal responsibility for the student's actions post-termination. Students are required to complete all departure procedures and leave the university within two weeks of status termination. Doctoral graduates who have successfully defended their dissertation but wish to make further revisions may apply for a delayed departure, with a maximum extension of three months.

## **Chapter VIII Academic Certificate Management**

**Article 49** The university issues academic certificates and degrees according to the students' program, study mode, and personal details provided during admission, in compliance with national regulations.

If a student needs to update personal information, such as their name or date of birth, on these certificates while still enrolled, they must submit a valid reason along with legally recognized documents to support the request. Changes will only be made after receiving approval from the university.

**Article 50** The university maintains electronic records of students' academic status and experiences in compliance with national regulations and guidelines for electronic registration and management of higher education academic records.

**Article 51** Students who gain admission or student status through violations of national admissions regulations will have their status revoked, and no graduation or degree certificates will be issued. Any previously issued certificates will also be invalidated. For students who obtain graduation or degree certificates through cheating, plagiarism, academic misconduct, or other improper means, the university will revoke those certificates in accordance with the law. If, after graduation, it is found that a graduate committed legal violations or violated university regulations during their studies that would have warranted expulsion, the university will, in accordance with the law, revoke any previously issued graduation or degree certificates.

If revoked certificates were previously registered, the university will cancel the registration and report the invalidation to the relevant higher education authorities.

**Article 52** In the event that a graduation or degree certificate is lost or damaged, the university will issue a corresponding proof of certification upon the student's application and subsequent verification. This proof will carry the same legal effect as the original certificate.

## **Chapter IX Rewards and Disciplinary Actions**

**Article 53** In recognition of outstanding academic and moral performance, graduate students may be awarded honorary titles or scholarships. These awards offer both spiritual and material benefits, aligned with national and university regulations.

**Article 54** Students who violate national laws and regulations or university rules and regulations will be subject to corrective measures. Depending on the severity of the misconduct, disciplinary actions may include:

- (1) Warning;
- (2) Serious Warning;
- (3) Demerit;
- (4) Probation;
- (5) Expulsion.

These actions will be administered in accordance with the “Student Disciplinary Measures of Harbin Institute of Technology” and other relevant regulations.

**Article 55** Graduate students may face expulsion if they:

- (1) Violate the Constitution or the Four Cardinal Principles of the People's Republic of China, threaten social stability and unity, or disrupt public order;
- (2) Break national laws and commit criminal offenses;
- (3) Face penalties for severe or malicious violations of public security regulations;
- (4) Impersonate others or allow themselves to be impersonated during exams, organize or participate in cheating, use unauthorized communication devices or equipment, sell exam questions or answers for profit, or commit other serious violations that undermine exam integrity;
- (5) Engage in academic misconduct, such as plagiarism, falsification, or forgery in theses, dissertations, or published research papers, or participate in ghostwriting or the buying/selling of academic papers;
- (6) Violate these Regulations or other university rules in ways that severely disrupts educational activities, living conditions, or public space management;
- (7) Inflict significant harm to the legal rights of individuals or organizations;
- (8) Receive three disciplinary actions from the university for violating university rules and regulations.

**Article 56** A notice regarding disciplinary decisions will be delivered directly to the student involved. If the student refuses to accept the notice, it will be served by leaving it at their usual place of abode. Should the student have left the university, the notice will be sent via mail or through electronic communication channels such as email or WeChat. In cases where contact with the student proves difficult, the notice will be published on the official website of HIT/their college/department/campus or other relevant platforms.

**Article 57** Students who voluntarily withdraw or fail to register for studies by the specified deadline will be considered to have automatically forfeited their admission qualifications. In such cases, the Graduate School will process the relevant procedures following a review. For other situations involving the cancellation of admission qualifications or student status, withdrawal, expulsion, or other significant decisions affecting student interests, a special meeting authorized by the university president will make the final decision.

**Article 58** Students facing disciplinary actions or cancellation of admission qualifications or student status have the right to appeal. Appeals will be handled in accordance with the "Measures for Handling Student Appeals of Harbin Institute of Technology".

## **Chapter X   Supplementary Provisions**

**Article 59** These Regulations may also apply to other students seeking degrees with equivalent academic qualifications.

**Article 60** The Graduate School, the Office of Students Affairs, and the Communist Youth League Committee, is responsible for the interpretation of these Regulations.

**Article 61** These Regulations take effect from September 1, 2022. The previous "Regulations for Management of Graduate Student Status of Harbin Institute of Technology" (No. 403 [2017],



Graduate School, HIT) are hereby repealed. If there is any discrepancy between other relevant documents and these Regulations, the latter shall prevail.

# 哈尔滨工业大学深圳校区学生违纪处分办法

哈工大深学（2023）19 号

（经哈尔滨工业大学深圳校区党委（扩大）会 2023 年第 2 次会议审议通过）

## 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,按照《哈尔滨工业大学学生违纪处分办法》(哈工大学〔2023〕4 号),结合校区实际情况,制定本办法。

**第二条** 对有违反法律、本办法及学校、校区其他纪律行为的学生,校区应当给予批评教育并可视情节轻重给予纪律处分。校区给予学生处分,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。校区对学生的处分,应当做到程序正当、证据充分、依据明确、定性准确、处分适当。

**第三条** 本办法适用于校区接受普通高等学历教育的本科生、研究生(以下简称学生)。

## 第二章 处分的种类和运用

**第四条** 纪律处分种类分为:

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

**第五条** 有下列情形之一的,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** 有下列情形之一的,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.其他应予从重处分的情形。

**第七条** 受留校察看处分的学生,在察看期间,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。

### 第三章 违法、违纪、违规行为及处分

**第八条** 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.反对四项基本原则的；
- 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的；
- 3.非法制作、复制、书写和组织张贴、散发标语、传单、大小字报、海报等，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。
- 6.违反校区规定受到纪律处分3次及以上，经教育不改的，可以给予开除学籍处分。

**第九条** 学生有触犯国家法律行为，构成刑事犯罪，被依法追究刑事责任的，给予开除学籍处分。

**第十条** 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。

**第十一条** 学生在校期间，以任何形式参与赌博或变相赌博者，按下列规定分别给予处分：

- 1.对提供赌博场所、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.对观看赌博者给予警告处分；
- 3.对一般参与者给予严重警告或记过处分；对组织赌博者给予记过或留校察看处分；对情节特别严重，影响恶劣者，给予开除学籍处分；
- 4.对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。

**第十二条** 对其他个人或组织进行侮辱、诽谤或滋扰，侵害其他个人或组织合法权益者，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。

**第十三条** 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，受到治安处罚的学生，给予开除学籍处分。

**第十四条** 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。

**第十五条** 对于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。

**第十六条** 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。

**第十七条** 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。

**第十八条** 违反校区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。

**第十九条** 对于在异性寝室留宿者、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。

**第二十条** 学生拒绝、阻碍校区管理人员依法或依校规执行公务者；以各种理由，对教师或校区工作人员寻衅滋事者；隐匿、毁弃或私拆他人邮件等扰乱校区正常教学、生活秩序者，视情节给予警告及以上处分。

**第二十一条** 对于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，或在网络发表不当言论、引发舆情或造成负面影响的，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。

**第二十二条** 对于违反保密规定，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。

**第二十三条** 对于伪造证明、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。

**第二十四条** 学生有其他扰乱公共秩序，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，或被公安机关训诫并要求校区进行批评教育的，给予警告、严重警告、记过或留校察看，直至开除学籍处分。

**第二十五条** 对于学位论文、公开发表的研究成果存在抄袭、篡改、伪造等学术不端行为，视情节给予严重警告、记过、留校察看或开除学籍处分。为他人代写论文、买卖论文或组织论文代写的，给予开除学籍处分。

**第二十六条** 学生考试违纪与作弊的认定与处理按照《哈尔滨工业大学（深圳）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（深圳）学生请假管理办法》《哈尔滨工业大学深圳校区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，违反《高等学校学生行为准则》《哈尔滨工业大学（深圳）全媒体管理办法》《哈尔滨工业大学深圳校区学生社团建设管理实施细则》以及本办法没有列举的违法、违规、违纪行为应给予处分的，可参照本办法中相类似条款给予处分。

**第二十八条** 凡是受到校区纪律处分的学生，处分期内不得申报奖学金及各种荣誉称号，原则上不得申请国家助学贷款和各类困难资助。

## 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.对本科生或研究生考试违纪作弊的处分，由教务部等教学管理部门负责，处理结果报学生工作部（处）/团委备案。

2.学位留学生违规、违纪事件由所在学院（研究院）调查取证，经国际事务处审核，形成书面材料报送学生工作部（处）/团委处理。

3.其他违纪处理由学生工作部（处）/团委负责。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（研究院）详细调查，形成处分材料，经学院（研究院）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）/团委等相关部门审核。经审核无异议的警告、严重警告、记过、留校察看处分报分管学生工作的校区领导批准；校区对学生作出开除学籍处分决定报分管学生工作的校区领导批准，由校区校长办公会或者校区校长授权的专门会议研究决定。处分决定由校区统一下发文件。

**第三十条** 校区要及时对学生违规、违纪事件调查并作出处理。学院（研究院）发现学生违规、违纪事件后，及时调查取证，调查取证完成后的20个工作日内向相关职能部门提交处分建议。情况复杂、性质严重、查证确有难度的，可书面向相关职能部门提出延期申请。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后及时作出相应处理。

**第三十一条** 凡被给予开除学籍处分的学生，由校区发给学习证明，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，校区为其办理离校手续，并将其户口、档案退回其家庭户籍所在地。

**第三十二条** 处分的期限从作出处分决定之日起计算。处分期限内因故休学或保留学籍的，休学或保留学籍的时间不计入处分期。

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。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** 在对学生作出处分之前，学生工作部（处）/团委或教务部等教学管理部门应当告知学生作出决定的事实、理由及依据，并由学院（研究院）告知学生享有陈述和申辩的权利，被告知后学生可在 3 个工作日内陈述和申辩。

**第三十四条** 校区对学生作出处分决定后，学院（研究院）应指定一名送达人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，送达人应邀请两名见证人说明情况，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，应在校区专门橱窗中发布公告的形式或在校区网站、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，在接到校区处分决定书之日起 10 日内，可以向校区学生申诉处理委员会提出书面申诉，有关申诉的规定依据《哈尔滨工业大学深圳校区学生申诉处理办法》办理。

**第三十六条** 处分决定均由各学院（研究院）负责装入学生本人档案。

**第三十七条** 记过及以下处分在处分期满或者受处分学生毕业时予以解除。

受到留校察看处分的，留校察看期满前一个月内或者毕业时，由本人申请，所在学院（研究院）党政联席会议讨论研究提出建议，经相关职能部门研究同意，且受处分学生至留校察看期满或毕业前无新的违规行为发生的，校区按留校察看期满当日或毕业前解除其留校察看处分。

## 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、公安部门或校区保卫部门书面材料、处分告知书、处分决定书、处分送达回证和学生申诉复查结论。

**第三十九条** 处分决定书内容包括：

- 1.学生的基本信息；
- 2.作出处分的事实和证据；

3.处分的种类、依据、期限；

4.申诉的途径和期限；

5.其他必要内容。

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

## **第七章 附 则**

**第四十一条** 非学历教育专业学位学生、非全日制专业学位学生等学生处分办法由相关管理单位参照本办法，结合实际，制定本单位学生违纪处分办法，并报校区审核、备案。

**第四十二条** 本办法由校区学生工作部（处）/团委负责解释。

**第四十三条** 本办法自发布之日起施行。原《哈尔滨工业大学（深圳）学生违纪处分办法》[哈工大（深圳）〔2020〕63号]废止。

# **Student Disciplinary Measures of Harbin Institute of Technology, Shenzhen**

No. 19 [2023], HITSZ Student

(Approved at the second meeting (expanded) in 2023 of the University Council of Harbin Institute of Technology, Shenzhen)

## **Chapter I     General Provisions**

**Article 1** These Measures are developed to ensure the smooth operation of education and teaching, regulate student management, and protect students' legal rights and interests, in accordance with relevant laws and regulations, including the Ministry of Education's "Regulations on Student Management in Higher Education Institutions" (Order No. 41, Ministry of Education) and the "Student Disciplinary Measures of Harbin Institute of Technology" (No. 4 (2023) , HIT Students), taking into account the specific context of Harbin Institute of Technology, Shenzhen (hereinafter referred to as HITSZ).

**Article 2** For students who violate the law, university rules, or campus rules, HITSZ should provide constructive criticism and, depending on the severity of the offense, take appropriate disciplinary actions. Disciplinary actions should aim to both educate the students and hold them accountable, ensuring that the response is fair and appropriate to the nature and seriousness of the misconduct. All actions must follow due process, be supported by adequate evidence, be clearly justified, and correspond in severity to the nature of the violation.

**Article 3** These Measures apply to undergraduate and graduate students (hereinafter referred to as "students") enrolled in regular higher education programs at HITSZ.

## **Chapter II     Types of Disciplinary Actions and Their Application**

**Article 4** Types of disciplinary actions:

1. Warning;
2. Serious Warning;
3. Demerit;
4. Probation;
5. Expulsion.

**Article 5** A disciplinary action may be mitigated under the following circumstances:

- (1) The student voluntarily confesses to the violation and takes immediate actions to correct it;
- (2) The student demonstrates meritorious conduct.

**Article 6** A disciplinary action may be aggravated under the following circumstances:



- (1) The student displays a very poor attitude towards admitting wrongdoing, refuses to accept guidance, or repeatedly violates rules despite previous warnings;
- (2) The student deliberately obstructs the investigation process;
- (3) The student intimidates or retaliates against whistle-blowers, witnesses, or staff.
- (4) Any other circumstances that warrant a more severe penalty.

**Article 7** A student placed on probation may have it lifted at the scheduled time if improved behavior is demonstrated during the probation period. If the student shows meritorious conduct, the probation may be lifted early. However, if the student fails to correct their behavior or commits further violations during this time, they will face expulsion.

### **Chapter III V Violations and Disciplinary Actions**

**Article 8** Students who engage in the following behaviors, resulting in serious consequences or who persist in their actions despite corrective efforts, will be expelled:

1. Opposing the Four Cardinal Principles;
2. Inciting, planning, or organizing illegal assemblies, marches, demonstrations, or class boycotts, or playing a key role in such activities;
3. Illegally producing, copying, writing, and organizing the posting or distribution of slogans, flyers, hand-written/printed posters, etc., that undermine stability and unity;
4. Creating and intentionally spreading rumors to incite the public, resulting in serious consequences;
5. Participating in reactionary or cult organizations;
6. Having received 3 or more disciplinary actions for violations of HITSZ regulations and failing to correct their behavior despite being warned or counseled.

**Article 9** Students who violate national laws and commit criminal offenses, and are subsequently held criminally responsible under the law, will be expelled.

**Article 10** Students who endanger national security, public security, disrupt social order, or infringe on the personal, democratic rights, or property of others will face administrative or public security penalties under the “Law of the People's Republic of China on Penalties for Administration of Public Security”. Such students may receive a demerit or be placed on probation. In serious or egregious cases, the students will face expulsion.

**Article 11** Students engaged in gambling or similar activities in any form will be subject to the following penalties:

1. Those who provide gambling venues, funds, or equipment may receive a warning, serious warning, or demerits, depending on the severity.
2. Those who merely watch gambling will receive a warning.
3. Participants in gambling may receive a serious warning or demerits, while organizers could face demerits or probation. In more severe cases, expulsion will be imposed.
4. Those who repeatedly engage in gambling despite warnings will be expelled.

5.If their participation in gambling leads to physical altercations or other negative consequences, penalties will be escalated in accordance with the relevant provisions in this document.

**Article 12** Students who insult, defame, or harass others, thereby infringing on their legal rights and interests, will face a warning, serious warning, demerits, or probation, depending on the severity. If they refuse to correct despite being warned or counseled, they will be expelled.

**Article 13** Students who listen to, watch, or read obscene materials will face serious warnings, demerits, or probation, depending on the severity. Those who produce, copy, rent out, or distribute such materials will face demerits or probation. In severe cases where students receive public security penalties, they will be expelled.

**Article 14** Students who invade others' privacy or infringe on their personal rights, but who are not penalized by law enforcement or judicial authorities, may face a serious warning, demerits, or probation, depending on the severity. If they refuse to correct despite being warned or counseled, they will be expelled.

**Article 15** Students involved in sex work, without legal penalties from law enforcement or judicial authorities, will receive demerits, probation, or expulsion, depending on the severity.

**Article 16** Students involved in physical altercations may face the following penalties:

**1.Instigators (who disrupt order, ignore warnings, provoke others verbally, or touch others in any way):**

(1) While not directly involved in the physical altercation, individuals who contribute to instigating the situation will receive a warning, a serious warning, demerits, or probation, depending on the severity of their actions.

(2) If they physically assault someone but no injury occurs, they will receive demerits or probation, based on the severity.

(3) If they cause injury to others, they will receive demerits, probation, or expulsion, depending on the severity.

(4) If they are the leader or organizer of a group fight, they will face probation or expulsion, depending on the severity.

**2.Direct Participants:**

(1) If they physically assault someone but no injury occurs, they will receive a warning or serious warning.

(2) If they cause injury to others, they will receive demerits, probation, or expulsion, depending on the severity.

**3. Direct Participants:**

Those who, under the guise of "mediation," take sides and escalate the situation, leading to consequences, will face a serious warning or demerits.

**4. False Testimony:**

(1) Those who do not participate in the fight but intentionally provide false testimony to obstruct the investigation will receive a serious warning or demerits.

(2) Those involved in the physical altercation who provide false testimony will face escalated penalties.

**5. Providing Weapons:**

(1) If no severe consequences arise, those who provide weapons will receive a warning, serious warning, demerits, or probation.

(2) If no severe consequences arise, those who provide weapons will receive a warning, serious warning, demerits, or probation.

**6. Those using weapons in the physical altercation will face escalated penalties.**

**Article 17** Students who violate fire safety regulations will face a warning, serious warning, demerits, or probation. If the violation is severe or repeated without correction, expulsion will be applied. The violations include:

1. Using electricity or fire in violation of regulations, creating safety hazards.
2. Using electricity or engaging in other violations of regulations, causing fire alarms or fire accidents.
3. Causing a fire due to negligence.
4. Intentionally damaging or unauthorized misappropriation of firefighting facilities.

**Article 18** Students who break dormitory rules and seriously disrupt others' study or daily life, and who fail to correct their behavior after being warned or counseled, will receive a warning, serious warning, or demerits, depending on the severity of the situation.

**Article 19** Students who stay in a dormitory designated for the opposite sex, or who allow members of the opposite sex to stay in their dormitory, will face disciplinary action, including a warning, serious warning, demerits, or probation, depending on the severity of the violation. In severe cases, expulsion will be applied.

**Article 20** Students who refuse to cooperate with campus management staff in the performance of their duties, provoke faculty or staff for any reason, or disrupt the normal operations of the campus, such as by hiding, damaging, or opening others' mail without permission, will receive a warning or higher-level penalty, depending on the severity.

**Article 21** Students who use computers or mobile networks to intentionally create, copy, or spread harmful information, steal others' accounts, passwords, or personal information, engage in activities that threaten the security of the network or information systems, or make inappropriate online comments causing public disturbances or a negative impact, will face a warning or higher-level penalty, depending on the severity. In cases resulting in serious consequences, expulsion may be applied.

**Article 22** Students who violate confidentiality regulations and disclose state secrets without facing legal penalties from law enforcement or judicial authorities will receive a serious warning, demerits, or probation, depending on the severity. If it causes severe consequences, expulsion will be applied.

**Article 23** Students who forge certificates, alter or fabricate documents, or engage in other fraudulent activities will face a serious warning, demerits, probation, or expulsion, depending on the severity.

**Article 24** Students who engage in behaviors that disrupt public order, endanger public safety, infringe on personal or property rights, or interfere with social management, but do not meet the threshold for public security penalties, or who are reprimanded by public security authorities and required to undergo corrective measures by HITSZ, will face a warning, serious warning, demerits, probation, or expulsion.

**Article 25** Students involved in academic misconduct, such as plagiarism, falsification, or fabrication of theses, dissertations, or published works, will face a serious warning, demerits, probation, or expulsion, depending on the severity. Students who write papers for others, buy or sell papers, or organize ghostwriting will be expelled.

**Article 26** The identification and handling of exam rule violations, including cheating, will follow the relevant provisions outlined in the following regulations: “Regulations for Management of Undergraduate Student Status of Harbin Institute of Technology, Shenzhen” , “Regulations for Management of Graduate Student Status of Harbin Institute of Technology”, “Measures for Student Leave Management of Harbin Institute of Technology, Shenzhen” , and “Measures for Management of Exam Rules and Disciplinary Actions of Harbin Institute of Technology”.

**Article 27** Disruptions of campus public order, as well as breaches of the “Code of Student Conduct for Higher Education Institutions”, “Measures for Omnimedia Management of Harbin Institute of Technology, Shenzhen”, the “Rules for Development and Management of Student Clubs of Harbin Institute of Technology, Shenzhen” , and any other violations of laws, regulations, and rules not explicitly covered in this document, shall be subject to penalties. In such cases, similar provisions in this document may be applied to determine the appropriate response.

**Article 28** Students who have received disciplinary actions are ineligible to apply for scholarships or honorary titles during the penalty period. In general, they are also ineligible for national student loans or other forms of financial aid.

#### **Chapter IV      Disciplinary Authority and Duration**

**Article 29** The departments responsible for investigating student violations and imposing disciplinary actions are as follows:

1. The Department of Academic Affairs, along with other academic management departments, is responsible for handling exam rule violations or cheating by undergraduate or graduate students. The results of these cases must be reported to the Department (Office) of Student Affairs/Communist Youth League Committee (CYLC).

2. For violations by degree-seeking international students, their faculty / school is responsible for the investigation. After review by the Office of International Affairs, the investigation results should be submitted to the Department (Office) of Student Affairs / CYLC for further processing.

3.The Department (Office) of Student Affairs / CYLC is responsible for handling other violations. Warnings, serious warnings, demerits, probation, and expulsion are subject to a thorough investigation by the relevant faculty / school. An investigation report should be prepared and reviewed at the Party-Administration Joint Meeting of the Faculty / School, here recommendations on disciplinary actions are made based on the investigation results. Depending on the nature of the violation, the case should then be forwarded to Department (Office) of Student Affairs / CYLC for further review. If there are no objections, actions like warnings, serious warnings, demerits, and probation should be submitted to the HITSZ leadership overseeing student affairs for approval. For expulsion cases, the decision should first be approved by the same leadership and then reviewed by the HITSZ Presidential Executive Council or another designated council for a final decision. The disciplinary decision will be formally issued through an official notice.

**Article 30** Student violations must be investigated and addressed promptly. When a faculty / school identifies a violation, it should immediately investigate and gather evidence. A disciplinary recommendation must be submitted to the relevant administrative departments within 20 working days of completing the investigation. If the case is complex, serious, or difficult to investigate, the faculty / school may request an extension in writing. For students who have been penalized by law enforcement or judicial authorities, HITSZ must take appropriate action as soon as the official penalty notice is received.

**Article 31** Students who are expelled will receive a certificate of attendance and must complete the necessary departure procedures within 10 working days of the final disciplinary decision. If they fail to complete these procedures within the designated time, HITSZ will handle the departure process for them and return their hukou and archives to their family's registered address.

**Article 32** The duration of a disciplinary action begins on the date the decision is made. If a student is on a suspension during the disciplinary period, the duration of the suspension will not count toward the penalty period.

Except for expulsion, disciplinary actions generally last between 6 to 12 months. Once the penalty period ends, the student's eligibility for awards, recognition, and other rights will be restored.

## **Chapter V Disciplinary Procedures**

**Article 33** Before making a disciplinary decision, the Department (Office) of Student Affairs/CYLC, or the Department of Academic Affairs and other relevant academic management departments must inform the student of the facts, reasons, and basis for the decision. Their faculty / school must also notify the student of their right to provide a statement or defense. After receiving the notification, the student may submit their statement or defense within 3 working days.

**Article 34** Once a disciplinary decision has been made, the student's faculty / school must designate a person to deliver the decision to the student directly and require the student to sign an acknowledgment of receipt. If the student refuses to sign, the deliverer should invite two witnesses to confirm the situation. The reasons for refusal, along with the date, must be noted on the acknowledgment of receipt, and the deliverer and witnesses should sign or stamp it. The disciplinary

notice will then be left at the student's residence, which will be considered as official delivery. If the student has left the campus, the decision may be sent by mail. If the student is difficult to contact or direct delivery is not possible, the notice can be posted on a designated bulletin board or announced on the website of HITSZ or through campus news media. In this case, the notice will be considered delivered 30 days after the announcement.

**Article 35** If the student disagrees with the disciplinary decision, they may submit a written appeal to the Student Appeals Committee within 10 days of receiving the decision. The appeal will be handled in accordance with the "Student Appeal Procedures of Harbin Institute of Technology, Shenzhen".

**Article 36** Disciplinary decisions will be recorded in the student's personal archives by their faculty / school.

**Article 37** Demerits or lower-level disciplinary actions will be lifted once the penalty period ends or when the student graduates.

For students placed on probation, the probation may be lifted either within one month before the probation period ends or at graduation, upon the student's request. This request should be reviewed by their faculty's / school's Party-Administration Joint Meeting. If no further violations have occurred, and after approval by the relevant administrative departments, the probation will be lifted on the last day of the probation period or at graduation.

## **Chapter VI Disciplinary Documentation**

**Article 38** The disciplinary documentation for a student who has violated rules should include the following: The student's statement and self-reflection materials; Key supporting evidence; Written records from law enforcement or campus security; Notice of disciplinary action; Notice of disciplinary decision; Acknowledgment of receipt of the disciplinary notice; Outcome of any appeal or review.

**Article 39** The disciplinary decision notice should include the following details:

1. The student's basic information;
2. The facts and evidence that led to the disciplinary action;
3. The type, basis, and duration of the disciplinary action;
4. Information on the appeal process, including the deadline for submitting an appeal;
5. Any other necessary details.

**Article 40** The disciplinary decision notice, appeal review outcome, and materials related to the lifting of any disciplinary action must be accurately and fully recorded in both HITSZ's records and the student's personal archives.

## **Chapter VII Supplementary Provisions**

**Article 41** Disciplinary procedures for students in non-degree programs and part-time professional

degree programs will be developed by the relevant departments in alignment with the principles outlined in this document, while being adapted to their specific context. The procedures must be submitted to the relevant departments for review and record keeping.

**Article 42** The Department (Office) of Student Affairs/CYLC is responsible for interpretation of this document.

**Article 43** This document takes effect as of the date of issuance. The previous “Student Disciplinary Procedures of Harbin Institute of Technology, Shenzhen” (No. 63 (2020) HITSZ) is hereby repealed.

# 哈尔滨工业大学学生考场纪律及考试违纪处分管理办法

哈工大本〔2024〕300号

(2020年5月制定 2024年12月9日哈尔滨工业大学2024年第21次校长办公会议审议修订  
2024年12月12日哈尔滨工业大学发布)

## 第一章 总 则

**第一条** 为严肃考风考纪，维护学校各类考试的公平、公正，依据《国家教育考试违规处理办法》（教育部令第33号）、《普通高等学校学生管理规定》（教育部令第41号）以及有关法律、法规，结合学校实际，制定本办法。

**第二条** 本办法所称考试是指学校及学院、学部或其他开课单位（以下统称学院）组织的与学生学业有关的各种形式的考核，包括闭卷笔试、开卷（半开卷）笔试，口试、答辩、实际操作，提交课程论文（报告）、设计作品及其他各类作业等。

**第三条** 本办法适用于具有我校学籍的学生。

## 第二章 考场纪律

**第四条** 学生参加统一安排考试地点的考试，须遵守以下考场纪律：

（一）参加考试时，须持带有本人清晰头像的校园卡或学生证或身份证等有效身份证件原件，并放置在桌面明显位置。

（二）考试开始15分钟后不准进入考场；允许提前交卷的，考试开始30分钟后方可交卷离开考场。

（三）进入考场后，须服从考试工作人员（主考、监考、巡考等）安排，按要求就座。

（四）考试开始前，须主动检查桌面、书桌膛、考试座位周围。若发现与考试内容相关的资料或字迹，须及时向考试工作人员报告。

（五）考试开始前，除主考教师另有规定外，须将考试必备用品以外的所有物品（具有存储和通讯功能的电子设备、教材、笔记、参考资料、空白纸张、自备草稿纸等）按考试工作人员要求集中放置。

（六）考试过程中，不得向他人借用文具、计算器等。特殊情况须经考试工作人员同意。开卷（半开卷）考试过程中，不得向他人借用任何资料。

（七）考试过程中，不得左顾右盼、旁窥他人试卷或默许他人旁窥自己的试卷，不得交头接耳、互打暗号或手势，不得干扰考试工作人员工作，不得擅自离开考场。特殊情况（急需去洗手间等）须经考试工作人员同意。

（八）允许提前交卷的，须按要求将试卷、答题卡、答题纸、草稿纸等交给考试工作人



员，随后立即离开考场。

（九）考试结束即刻停止答题，并遵照考试工作人员指定的方式交卷。交卷过程要保持安静，不得大声喧哗、左顾右盼。在考试工作人员允许后，方可离开考场。

（十）不得擅自将试卷、答题卡、答题纸、草稿纸等带出考场。

（十一）非当场考生不得进入考场参加考试。

（十二）其他由考试工作人员作出的考场纪律要求。

### 第三章 考试违纪行为的认定

**第五条** 学生不遵守考场纪律，有下列行为之一的，认定为考试违纪：

（一）提前占座，不服从考试工作人员调动。

（二）携带考试必备用品以外的物品进入考场且未放置在指定位置。

（三）不遵守考试时间，提前或延后答题。

（四）考试过程中，未经考试工作人员同意借用文具、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、草稿纸等带出考场。

（七）未经考试工作人员同意，在考试过程中擅自离开考场。

（八）在考场内喧哗，干扰其他考生作答或干扰考试工作人员工作。

（九）拒绝、妨碍考试工作人员履行管理职责。

（十）其他违反考场纪律但尚未构成作弊的行为。

### 第四章 考试作弊行为的认定

**第六条** 学生违背考试公平、公正原则，有下列行为之一的，认定为考试作弊：

（一）在考试座位及附近涂写与考试内容相关的文字、公式等。

（二）在闭卷考试中以任何形式夹带、携带与考试内容相关的资料或者存储有与考试内容相关资料的电子设备。在开卷（半开卷）考试中携带、使用规定范围以外的资料，或互相传递任何资料、纸张等。

（三）与他人交换试卷、答题卡、答题纸、草稿纸等；抄袭他人，或让他人为自己抄袭提供方便，或为他人抄袭提供方便，或通过手势暗号传递信息等。

（四）提交的试卷、答题卡、答题纸等，被认定为雷同；提交的课程论文（报告）、设计作品及其他各类作业等，被认定为抄袭。

（五）使用电子设备或其他器材收发信息实施作弊。

（六）抢夺、窃取或损坏他人试卷、答题卡、答题纸等或者胁迫他人为自己抄袭提供方便。

（七）代替他人或让他人代替自己参加考试，撰写课程论文（报告）、设计作品及其他

各类作业等。

（八）以不正当手段获得或者试图获得试题、试题答案、考试成绩。

（九）向他人出售考试试题、试题答案。

（十）组织考试作弊。

（十一）其他严重违背考试公平、公正原则或扰乱考试秩序的行为。

## 第五章 考试违纪及作弊行为的处理

**第七条** 学生在考场参加考试时，出现违纪或作弊行为，考试工作人员要认真履行职责，做好证据采集工作，禁止当事学生继续参加考试，在试卷上标注“违纪”或“作弊”字样，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/研究生院。

其他情形下，发现学生有考试违纪或作弊行为，学生所在学院要成立工作组，对学生考试违纪或作弊行为进行调查。调查结束后，形成结论性报告，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。结论性报告和《哈尔滨工业大学学生考试违纪登记表》一同提交本科生院/研究生院。

本科生院/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。

**第八条** 对学生考试违纪及作弊的处分如下：

（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）依据本办法第六条第一至第四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）依据本办法第六条第五至第十一款认定的考试作弊者，给予开除学籍处分。

**第九条** 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，报分管校领导批准。作出开除学籍处分决定的，报分管校领导审核，由校长办公会议或者校长授权的专门会议研究决定。处分程序和学生申诉按《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》《哈尔滨工业大学学生违纪处分办法》以及《哈尔滨工业大学学生申诉处理办法》中有关条款执行。

## 第六章 考试违纪及作弊行为的加重处理

**第十条** 受留校察看处分且尚未解除的学生，再次发生考试违纪或作弊行为的，给予开除学籍处分。

**第十一条** 受记过及以下处分且尚未解除的学生，再次发生考试违纪的，给予留校察看处分，处分期限追加12个月；受记过及以下处分且尚未解除的学生，又发生考试作弊的，给予开除学籍处分。

**第十二条** 屡次考试违纪或作弊，经教育不改的，给予开除学籍处分。

## **第七章 考试违纪及作弊处分的解除**

**第十三条** 受到警告、严重警告、记过处分的学生，处分期满或毕业时予以解除。

**第十四条** 受到留校察看处分的学生，在处分期限到期前一周或毕业时，可申请解除处分。学生须书面提出解除处分申请，所在学院签署考察意见，经学院党政联席会议审议通过后，提交本科生院/研究生院复核。复核无异议，报分管校领导批准后，可按期或提前解除学生处分。

如经所在学院考察或本科生院/研究生院复核认为学生不应按期解除处分，则处分期限可延长，延长期限不超过 6 个月。

## **第八章 附 则**

**第十五条** 本办法由本科生院、研究生院负责解释，未尽事宜按照国家、学校有关规定执行。在我校培养但不具有我校学籍的学生发生考试违纪或作弊行为的，学校将学生考试违纪或作弊行为通报至其学籍所在学校或其所在单位，由其学籍所在学校或其所在单位进行相应处理。

**第十六条** 本办法自发布之日起施行。原《哈尔滨工业大学学生考试纪律及考试违纪处分管理办法》（哈工大本〔2020〕143 号）同时废止。

# Harbin Institute of Technology Measures for Management of Exam Rules and Disciplinary Actions

No. 300 [2024], HIT Undergraduate

(Originally adopted in May 2020, revised at the 21st HIT Presidential Executive Council meeting in 2024 on December 9, 2024, and issued on December 12, 2024)

## Chapter I General Provisions

**Article 1** These Measures are developed to maintain integrity and fairness in exams at Harbin Institute of Technology (HIT), in accordance with the “Regulations on Handling Violations in National Education Examinations” (Order No. 33, Ministry of Education), “Regulations on Student Management in Regular Higher Education Institutions” (Order No. 41, Ministry of Education), and other relevant laws and regulations, while also taking into account the specific context of HIT.

**Article 2** In these Measures, the term "exam" refers to any form of assessment of students' academic performance organized by HIT, its colleges, schools, faculties, or other academic units (collectively referred to as "colleges"). This includes closed-book written exams, open-book or limited-book written exams, oral exams, defenses, practical assessments, term papers/reports, designs, and other types of coursework.

**Article 3** These Measures apply to all students enrolled at HIT.

## Chapter II Exam Rules

**Article 4** Students attending exams at designated venues must observe the following rules:

(1) Students must bring a valid form of identification with a clear photo (e.g., campus card, student ID booklet, or national ID card) and place it visibly on their desk.

(2) Students may not enter the exam room more than 15 minutes after the exam begins. If early submission of exam paper is permitted, students may leave the room only after 30 minutes have passed since the exam started.

(3) Upon entering the examination room, students must follow the seating arrangement directed by the exam staff (chief examiner, invigilators, etc.).

(4) Before the exam begins, students must check their desk and surrounding area for any unauthorized materials or notes. Any such items must be immediately reported to the exam staff.

(5) Unless otherwise specified by the chief examiner, all items not required for the exam (e.g., electronic devices with storage or communication capabilities, textbooks, notes, reference materials, and any personal papers) must be placed in a designated area as instructed by the exam staff.

(6) During the exam, students are not permitted to borrow stationery, calculators, or any other materials from others. Special permission from the exam staff is required in exceptional cases. For open-book (or limited-book) exams, borrowing materials from others is strictly prohibited.

(7) Students must not look at other students' exam papers, allow others to see theirs, whisper, use hand signals, or cause any disruption. Leaving the exam room during the exam is only allowed in emergencies (such as an urgent need to use the restroom) and must be approved by the exam staff beforehand.

(8) To leave the exam early (if permitted), students must submit their exam paper, answer sheet, scratch paper, etc. to the exam staff as instructed, and leave the room immediately.

(9) When the exam ends, students must stop writing immediately and follow the exam staff's instructions to submit their papers. During the submission process, students must keep silence and avoid talking or looking around. Students may leave the exam room only after receiving permission from the exam staff.

(10) Students are not allowed to take any exam papers, answer sheets, scratch papers, etc. out of the exam room.

(11) Only students scheduled for the exam room are allowed to enter.

(12) Students must comply with any additional instructions or requirements from the exam staff regarding the exam.

### **Chapter III Violations of Exam Rules**

**Article 5** Students who engage in any of the following behaviors will be considered in violation of exam rules:

(1) Reserving a seat before the exam and refusing to follow seating assignments made by exam staff.

(2) Bringing unnecessary items into the exam room and failing to place them in the designated area.

(3) Starting the exam before or after the designated time.

(4) Borrowing stationery, calculators, or other items during the exam without prior approval from the exam staff.

(5) Deliberately damaging the exam papers, answer sheets, or scratch paper.

(6) Taking any exam papers, answer sheets, scratch papers, etc. out of the exam room without permission.

(7) Leaving the exam room during the exam without permission from the exam staff.

(8) Making noise, disturbing other students, or interfering with the work of the exam staff.

(9) Refusing to cooperate with or hindering the exam staff in performing their duties.

(10) Any other actions that violate exam rules but do not constitute cheating.

### **Chapter IV Cheating in Exams**

**Article 6** Students who engage in any of the following behaviors that violate the principles of fairness and integrity during exams will be considered as cheating:

(1) Writing notes, formulas, or any exam-related information on or near the exam seat.

(2) Bringing materials related to the exam content or electronic devices with exam-related information into a closed-book exam. In open-book or limited-book exams, bringing in materials beyond the allowed scope or exchanging any unauthorized materials with others.

(3) Exchanging exam papers, answer sheets, scratch papers, etc., with others; copying from

others, allowing others to copy from you, assisting others in cheating, or using hand signals or codes to communicate exam-related information.

(4) Submitting an exam paper, answer sheet, or scratch paper that is very similar to another student's work, or submitting a plagiarized term paper/report, design work, or other coursework.

(5) Using electronic devices or other tools to send or receive information for cheating purposes.

(6) Stealing, taking, or damaging another student's exam paper, answer sheet, or scratch paper, or pressuring others to facilitate cheating for you.

(7) Taking an exam on behalf of someone else or allowing someone else to take your exam; writing a term paper/report, design work, or other coursework for someone else.

(8) Gaining or attempting to access exam questions, answers, or results through improper means.

(9) Selling exam questions or answers to others.

(10) Organizing or facilitating cheating during the exam.

(11) Any actions that severely undermine the fairness or integrity of the exam, or interfere with its proper conduct.

## **Chapter V Handling of Exam Rule Violations and Cheating Actions**

**Article 7** If a student is found violating exam rules or cheating during an exam, the exam staff must immediately take appropriate action. This includes collecting evidence, preventing the student from continuing the exam, marking the exam paper of the student with the notation "Violation" or "Cheating", filing out the "Student Exam Violation Record of Harbin Institute of Technology", and having the student confirm the details and sign the record. Once the exam is over, the "Student Exam Violation Record" and all relevant evidence should be submitted to the Undergraduate School or Graduate School.

If a violation or instance of cheating is discovered after the exam, the student's college should form a task force to investigate the matter. After the investigation, prepare a report, fill out the "Student Exam Violation Record", and have the student confirm the details and sign the record. Both the report and the "Student Exam Violation Record" should be submitted to the Undergraduate School or Graduate School.

The Undergraduate School or Graduate School should review the case based on the facts and applicable regulations, and inform the student of their right to provide a statement or defense.

**Article 8** Disciplinary actions for exam rule violations and cheating:

(1) Students who violate exam rules will face disciplinary actions, such as a warning, serious warning, or demerit, depending on the severity of the violation. These actions will remain in effect for six months.

(2) Students found to have engaged in cheating, as outlined in Articles 6(1) to 6(4) of these Measures, will be placed on probation for 12 months.

(3) Students found to have committed more serious forms of cheating, as described in Articles 6(5) to (11), will be expelled from the university.

Decisions to issue a warning, serious warning, demerit, or probation for exam rule violations or

cheating must be approved by the corresponding university leader. The decision to expel a student must be reviewed by the corresponding university leader and then discussed and finalized by the Presidential Executive Council or a special meeting authorized by the president. Disciplinary procedures and student appeals should follow the guidelines outlined in the “Regulations for Management of Undergraduate Student Status of Harbin Institute of Technology”, “Regulations for Management of Graduate Student Status of Harbin Institute of Technology”, “Student Disciplinary Measures of Harbin Institute of Technology”, and “Measures for Handling Student Appeals of Harbin Institute of Technology”.

## **Chapter VI Tougher Consequences for Repeated Rule Violations and Cheating**

**Article 10** A student on probation who commits another exam rule violation or engages in cheating again will be expelled from the university.

**Article 11** Students who have received a demerit or lesser disciplinary action that has not yet been lifted will face the following consequences for repeat offenses:

- (1) If they commit another exam violation, they will be placed on a probation of 12 months in addition to the original penalty period;
- (2) If they cheat on an exam again, they will be expelled.

**Article 12** A student who repeatedly violates exam rules or engages in cheating, despite repeated education and warnings, will be expelled from the university.

## **Chapter VII Lifting of Disciplinary Actions**

**Article 13** Disciplinary actions, such as warnings, serious warnings, or demerits, will be lifted once the penalty period expires or upon graduation.

**Article 14** A student under probation may apply to have their penalty lifted one week before the probation period expires or upon graduation. The student must submit a written request to have the penalty lifted. This request must first be reviewed by their college and approved at the Party-Administration Joint Meeting, after which it will be forwarded to the Undergraduate or Graduate School for further review. If there are no objections during the further review, and the corresponding university leader gives approval, the penalty may be lifted as scheduled or earlier.

If the student’s college or the Undergraduate/Graduate School decides that the penalty should not be lifted as scheduled, the penalty may be extended. However, the extension must not exceed 6 months.

## **Chapter VIII Supplementary Provisions**

**Article 15** The Undergraduate School and Graduate School are responsible for the interpretation of these Measures. Any issues not covered in this document will be resolved in accordance with relevant national laws and university policies. For students studying at our university who do not hold official student status here, any incidents of exam rule violations or cheating will be reported to

their home institution for appropriate action.

**Article 16** These Measures take effect as of the date of issuance. The previous “Measures for Management of Exam Rules and Disciplinary Actions of Harbin Institute of Technology” (No. 143 [2020], HIT Undergraduate) is hereby repealed.



02

本科生培养 Undergraduate Cultivation



## 教务部教务处关于转发学校文件 《哈尔滨工业大学本科生选课与课程学习管理办法》的通知

校区各部、处、直属单位、学部、学院、研究院：

根据学校工作部署和校区工作要求，现转发学校《哈尔滨工业大学本科生选课与课程学习管理办法》（校本教务〔2025〕1号）（详见附件），其中第三章第十三条根据深圳校区实际情况调整为“文理通识课程每人每学期最多可选修3门；创新研修课、创新实验课、竞赛指导类课程、创新创业通选课、社会实践课等课程每人每学期最多可各选修1门。以MOOC形式开设的文理通识课程，每人每学期最多可选修2门”。

本办法自发布之日起施行，特此通知。

附件：《哈尔滨工业大学本科生选课与课程学习管理办法》（校本教务〔2025〕1号）

教务部教务处  
2025年4月3日

# 哈尔滨工业大学本科生选课与课程学习管理办法

校本教务〔2025〕1号

## 第一章 总 则

**第一条** 为规范本科生选课工作流程，强化在校生课程学习行为管理，加强学风建设，维护学校教育教学秩序，根据《普通高等学校学生管理规定》（教育部令第41号），结合学校实际，制定本办法。

**第二条** 本办法所称课程，是指学校面向本科生开设的所有必修课和选修课。本办法所称课程学习，是指本科生参与课程各环节教学活动获得知识、提升能力和素质的过程。

## 第二章 组织与管理

**第三条** 本科生选课与课程学习由本科生院负责全面组织实施，研究生院、网络安全和信息化办公室以及各学院、学部（以下统称学院）协同完成。

**第四条** 本科生院是本科生选课与课程学习的组织与管理部门，主要职责为：

1.准备选课基本数据，配置选课系统参数，协调相关单位进行选课系统功能调试及压力测试，为选课提供技术保障。

2.发布选课通知，公布课程开课人数阈值，在选课结束后处理课程停开。

3.解答和处理学生在选课及课程学习过程中遇到的问题，审批学生与选课及课程学习相关的各类申请。

**第五条** 研究生院负责组织与管理本科生选修研究生课程的相关工作。

**第六条** 网络安全和信息化办公室负责保障选课期间的网络通信和安全，确保服务器和数据库的正常运行，监测网络异常使用情况等。

**第七条** 各学院是学生选课与课程学习的基层管理部门，负责根据培养方案 and 实际执行的教学计划（以下简称执行计划）做好学生选课和课程学习的指导工作，落实和传达学校相关通知的要求，解答学生提出的相关问题，协助学生办理并审核与选课和课程学习相关的各类申请。

## 第三章 选课要求

**第八条** 学生应在学院指导下，根据专业培养方案、执行计划和个人学业进度，在每学期规定时间内完成各类课程选课，方能参加课程学习和考核。

**第九条** 除“挂牌授课”（指多名授课教师在同一时间、不同地点讲授同一门课程，由学生自主选择授课教师）课程外，必修课程由本科生院置课。

**第十条** 已获批准修读辅修专业或微专业的学生，应根据辅修专业或微专业培养方案和执行计划选课，并按要求在规定时间内完成辅修专业或微专业课程缴费。

**第十一条** 学生根据个人学业规划需求或学习兴趣，可在主、辅修专业培养方案规定课程之外选修其他专业课程，即个性化选修课程。个性化选修课程选课后可在规定时间内缴费，缴费后选课生效。

**第十二条** 结业生可在最长学习年限内返校重修不合格的必修课程，或选修培养方案规定的其他未完成学分对应的课程，须在规定时间内缴费，缴费后选课生效。

**第十三条** 文化素质教育选修课、文化素质教育核心课每人每学期最多可各选修 2 门；新生研讨课、创新创业课、创新研修课、创新实验课每人每学期最多可各选修 1 门。以 MOOC 形式开设的文化素质教育课程，每人每学期最多可选修 1 门。

**第十四条** 学生使用不正当手段扰乱选课秩序的，取消其当轮次选课结果，并依据《哈尔滨工业大学学生违纪处分办法》予以处理。

## 第四章 选课安排

**第十五条** 选课一般可分为预选、正选和补选等，由本科生院根据课程类别、课程性质、排课需求等因素综合考虑后安排。

**第十六条** 预选一般安排在长学期的中后期，正选一般安排在学期末或假期，补选一般安排在学期初。

**第十七条** 选课模式一般为“先到先得”；资源较为紧张的课程根据实际情况可采用“志愿+抽签”选课模式；对学生知识储备、研究能力和先修课程等情况有具体要求的课程，实行师生互选机制。

**第十八条** 非补选开放期间原则上不办理课程补选业务。确因学籍异动、身体疾病、课程调整等特殊原因需在非补选开放期间补选课程的，可在拟补选课程开课前，经本人申请、授课教师同意、所在学院审核、本科生院审批后，补选相应课程。

## 第五章 退课安排

**第十九条** 除以下情况外，必修课程原则上不予退课。

1. 学生休学、保留学籍或外出交流学习期间，如有已选课程或误选课程（含置课），须申请退课，经学院审核、本科生院审批后生效。

2. 学生外出交流学习结束返校后，如有已与交流学习期间所修读的校外课程互认学分的已选课程或误选课程（含置课），可申请退课，经学院审核、本科生院审批后生效。

**第二十条** 非必修课的退课在选课期间同步开放，退课即时生效。

**第二十一条** 专业限选课、专业选修课、文化素质教育选修课、文化素质教育核心课、新生研讨课、创新创业课、创新研修课、创新实验课、跨专业发展课程等选修课程实行试听期退课制度，试听期限一般按照如下规则确定：课程总学时少于 32 的，试听不多于 4 学时；课程总学时达到或多于 32 的，试听不多于 8 学时。如教师自行设置不少于上述学时的试听期限，以教师设置为准。

**第二十二条** MOOC、研究生课程不设置退课环节。

**第二十三条** 因学生个人原因不能继续参加辅修专业课程、个性化选修课程的，可在试听期限结束前自行申请退课退费；试听期限结束后，原则上不予退课，缴纳费用不予退还。

## 第六章 学生课程学习管理

**第二十四条** 学生须按时参加培养方案规定的各项教学活动，根据授课教师要求，认真完成各教学环节并参加考核。

**第二十五条** 学生在学习过程中应设定明确的学习目标，在知识学习的基础上培养自己独立思考、团队协作和解决问题的能力，持续提高学习质量与成效。

**第二十六条** 因特殊情况不能参加部分课程内容学习的，学生须提前向授课教师请假并获得批准，同时视为自愿放弃请假期间所有教学活动产生的平时考核成绩（与授课教师有其他约定的除外）。已办理请假手续的，应向授课教师出示请假审批结果。未向授课教师请假擅自不参加教学活动的，视为无故缺课。

**第二十七条** 学生在课程学习中须遵守课堂纪律，因违反课堂纪律影响正常教学秩序的，依据《哈尔滨工业大学学生违纪处分办法》予以处理。

**第二十八条** 学生完成作业、论文、报告、项目、设计作品等学业成果，须自觉遵守国家法律、学术道德和学术规范，凡有抄袭、篡改、伪造等违反学术诚信行为的，依据《哈尔滨工业大学学生违纪处分办法》予以处理。

## 第七章 附 则

**第二十九条** 威海校区、深圳校区参照本办法，结合校区实际制定实施细则，报学校审核。

**第三十条** 本办法由本科生院负责解释。

**第三十一条** 本办法自发布之日起施行。

## **Notice from the Office of Academic Affairs on Forwarding the “Measures on Course Selection and Learning Management for Undergraduate Students of Harbin Institute of Technology”**

April 3, 2025

All HITSZ departments:

In accordance with the overall work arrangements of HIT and the relevant requirements of HITSZ, the “Measures on Course Selection and Learning Management for Undergraduate Students of Harbin Institute of Technology” (No.1 [2025], HIT Undergraduate Academic Affairs) is hereby forwarded for your reference and implementation. Please see the attached document for details. To better align with the academic structure of HITSZ, Article 13, Chapter III has been modified as follows: “Each student may take up to 3 General Education Courses per semester. For specialized courses—such as Innovation Workshops, Innovation Lab Courses, Competition Courses, Innovation and Entrepreneurship Electives, and Social Practice Courses—each student may enroll in at most 1 course per category per semester. For General Education Courses delivered via MOOCs, each student may take up to two courses per semester.”

These Measures are effective as of the date of issuance. Thank you for your kind attention.

Attachment: “Measures on Course Selection and Learning Management for Undergraduate Students of Harbin Institute of Technology” (No.1 [2025], HIT Undergraduate Academic Affairs)

Office of Academic Affairs, Department of Academic Affairs

# Measures on Course Selection and Learning Management for Undergraduate Students of Harbin Institute of Technology

No.1 [2025], HIT Undergraduate Academic Affairs

## Chapter I General Provisions

**Article 1** To regulate the undergraduate course selection process, strengthen the management of students' academic engagement, uphold academic integrity, and ensure the orderly conduct of teaching and learning activities, these Measures are hereby formulated in accordance with the "Regulations for Student Management in Regular Higher Education Institutions" (Order No. 41, Ministry of Education), and in light of the university's specific circumstances.

**Article 2** For the purposes of these Measures, the term “course” refers to all required and elective courses offered by the university to undergraduate students. The term “course learning” refers to the process by which undergraduate students engage in a course’s instructional activities to acquire knowledge, develop skills, and enhance their overall academic and personal growth.

## Chapter II Organization and Management

**Article 3** The Undergraduate College is responsible for the overall coordination and implementation of undergraduate course selection and learning activities. The Graduate School, the Office of Cybersecurity and Informatization, and each school shall work in collaboration to support and carry out the relevant responsibilities.

**Article 4** The Undergraduate College serves as the administrative body for undergraduate course selection and learning. Its primary responsibilities include:

1. Preparing necessary data to support course selection, configuring system parameters, coordinating with relevant departments to perform functionality and stress testing of the course selection system, and providing technical support;
2. Issuing course selection notices, publishing minimum enrollment requirements for course offerings, and managing course cancellations after the selection period ends;
3. Addressing and resolving issues encountered by students during course selection and learning, as well as reviewing and approving student applications related to these processes.

**Article 5** The Graduate School is responsible for organizing and managing matters related to undergraduate students enrolling in graduate-level courses.

**Article 6** The Office of Cybersecurity and Informatization is responsible for ensuring secure and stable network operations during the course selection period. This includes maintaining the proper functioning of servers and databases, as well as monitoring and addressing any abnormal network activity.

**Article 7** Each school serves as the frontline administrative unit for managing student course selection and learning. They are responsible for guiding students through the course selection process and their course learning activities, based on the training programs and program implementation plans in effect (hereinafter referred to as "implementation plans"). They are also responsible for implementing and communicating relevant university notices, addressing student inquiries related to course selection and learning, and assisting them in processing and reviewing various applications related to course selection and learning.

### **Chapter III Course Selection Requirements**

**Article 8** Under the guidance of their school, students are required to complete their course selection within the designated period each semester. The selection should be based on their training program, implementation plan, and personal academic progress. Only upon completing the course selection may students participate in course learning and assessments.

**Article 9** Except for multi-section courses (where multiple instructors teach the same course at different locations and times, allowing students to choose their instructor), required courses shall be arranged by the Undergraduate College.

**Article 10** Students approved to pursue a minor or micro-program must select courses in accordance with the training program and implementation plan of the respective minor or micro-program, and must complete payment for these courses within the designated period.

**Article 11** Students may choose specialized courses beyond those specified in the training programs of their major or minor, based on their personal academic plans or interests. These courses are referred to as personalized elective courses. After selecting personalized elective courses, students must complete payment within the designated period. The course selection will only be considered valid once payment is made.

**Article 12** Students who have completed their program without a degree may return to the university within the maximum duration of their study period to retake any required courses they have failed or to select other courses specified in the training program in order to complete missing credits. Payment must be made within the designated period, and the course selection will only be valid upon successful payment.

**Article 13** Each student may enroll in up to 2 courses per semester from the Cultural Education Elective Courses, and up to 2 from the Cultural Education Core Courses. Additionally, students may take up to 1 course per semester from each of the following categories: Freshman Seminars, Innovation and Entrepreneurship Courses, Innovation Workshops, and Innovation Lab Courses. For Cultural Education Courses delivered via MOOCs, each student may enroll in no more than one course per semester.

**Article 14** If a student interferes with the course selection process deliberately, their course selections for that round will be canceled, and disciplinary action will be taken in accordance with



the “Student Disciplinary Measures of Harbin Institute of Technology”.

## **Chapter IV Course Selection Arrangements**

**Article 15** Course selection is generally divided into three phases: preliminary selection, official selection, and supplementary selection. These phases will be scheduled by the Undergraduate College based on factors such as course type, nature, and scheduling requirements.

**Article 16** Preliminary selection is typically arranged during the mid- to late part of a long semester, the main selection is scheduled at the end of the semester or during breaks, and the supplementary selection usually takes place at the beginning of the semester.

**Article 17** Courses are generally offered on a “first come, first served” basis. For courses with limited availability, a lottery system may be implemented. Courses with specific requirements for students' knowledge, research abilities, or prerequisites will use a mutual selection process between instructors and students.

**Article 18** Outside the designated supplementary selection period, adding a course is generally not allowed. However, in special cases—such as changes in student status, health issues, or course adjustments—students may apply to add a course. This requires a personal application, approval from the instructor, review by the student's school, and final approval from the Undergraduate College. The application must be submitted before the course begins.

## **Chapter V Course Withdrawal**

**Article 19** Withdrawal from required courses is generally not permitted, except under the following circumstances:

1. If a student takes a leave of absence, has a temporary suspension of enrollment, or participates in an exchange program and has mistakenly enrolled in a course offered by HIT (including preset courses), they shall apply for a course withdrawal. The withdrawal will be effective upon approval by their school and the Undergraduate College.

2. Upon returning from an exchange program, if a student has enrolled in courses that have already been approved for credit transfer from the exchange program, they may apply for a course withdrawal. The withdrawal will be effective upon approval by their school and the Undergraduate College.

**Article 20** Students may withdraw from non-compulsory courses during the course selection period, with the withdrawal taking effect immediately.

**Article 21** A trial-period withdrawal policy applies to Major Restricted Electives, Major Free Electives, Cultural Education Elective Courses, Cultural Education Core Courses, Freshman Seminars, Innovation and Entrepreneurship Courses, Innovation Workshops, Innovation Lab Courses, and Cross-Major Development Courses. The standard trial period is defined as follows: For courses totaling fewer than 32 class hours, the trial period may not exceed 4 class hours.

For courses with 32 class hours or more, the trial period may not exceed 8 class hours. If an instructor sets a longer trial period than the standard specified above, the instructor's policy shall take precedence.

**Article 22** No withdrawal option is available for MOOC courses or graduate-level courses.

**Article 23** If a student can no longer continue with a minor program course or a personalized elective course for personal reasons, they may apply for withdrawal and a refund before the end of the trial period. After the trial period ends, course withdrawal will generally not be permitted, and any paid fees will not be refunded.

## **Chapter VI Course Learning Management**

**Article 24** Students shall participate punctually in all instructional activities outlined in the training plan. They must complete all course requirements as directed by the instructor and engage seriously in all related assessments.

**Article 25** Throughout their studies, students are expected to set clear academic objectives and actively develop independent thinking, teamwork, and problem-solving skills, while building a strong knowledge base, thus continually enhancing their learning effectiveness.

**Article 26** If a student is unable to attend any part of a course due to special reasons, they must submit a leave request in advance and obtain approval from the instructor. Approved leave indicates the student voluntarily forfeits any attendance-based assessment during the leave period, unless otherwise agreed upon with the instructor. Students who complete the leave application must present the approval result to the instructor. Failure to attend class without prior approval will be deemed as an unexcused absence.

**Article 27** Students must observe proper classroom conduct. Any behavior that disrupts normal instructional activities due to violations of classroom rules will be handled in accordance with the "Student Disciplinary Measures of Harbin Institute of Technology".

**Article 28** In completing assignments, papers, reports, projects, design work, or other academic work, students shall comply with national laws, maintain academic integrity, and follow recognized academic standards. Any misconduct—including plagiarism, falsification, or fabrication—will be addressed in accordance with the "Student Disciplinary Measures of Harbin Institute of Technology".

## **Chapter VI Supplementary Provisions**

**Article 29** The Weihai and Shenzhen Campuses shall develop implementation guidelines based on these Measures and tailored to their specific circumstances. These guidelines must be submitted to the university for review.

**Article 30** The Undergraduate College is responsible for interpreting these Measures.

**Article 31** These Measures shall be effective as of the date of issuance.

# 哈尔滨工业大学（深圳）国际本科生汉语课程免修办法

深教[2025]6 号

**第一条** 为真正落实“以学生为中心，学生学习与发展成效驱动”的教育理念，对于汉语水平已达较高水平、能够熟练使用生活用语和阅读本专业汉语资料能力的国际本科生，允许其申请免修汉语课程。审核通过后可直接获得学分，课程成绩记为“免修”，不参与平均学分绩及绩点计算。

**第二条** 以英文为专业教学语言的国际本科生，凡符合汉语水平考试(HSK)3 级及以上条件者，可申请免修《初级汉语 I》和《初级汉语 II》课程。

**第三条** 以英文为专业教学语言的国际本科生，凡符合汉语水平考试(HSK)4 级及以上条件者，可申请免修《中级汉语 I》和《中级汉语 II》课程。

**第四条** 本办法自发布之日起施行。

# **Guidelines on Exemption from Chinese Language Courses for International Undergraduate Students at Harbin Institute of Technology, Shenzhen**

HITSZ Education Bureau Document No. 6 (2025)

To align with our commitment to “student-centered education that fosters individual growth and success”, for international undergraduate students with strong proficiency in Chinese and the ability to converse fluently and read discipline-specific materials in Chinese, s/he can apply for exemption from Chinese language courses. Upon approval, students will receive credits for the courses without the need to attend classes, and the grades will be marked as “Exempt”. These courses will not be factored into their GPA calculation. The exemption policy is as follows:

International undergraduate students whose primary language of instruction is English may apply for an exemption from “Elementary Chinese I” and “Elementary Chinese II” if they have achieved HSK Level 3 or above.

International undergraduate students whose primary language of instruction is English may apply for an exemption from “Intermediate Chinese I” and “Intermediate Chinese II” if they have achieved HSK Level 4 or above.

These Guidelines shall come into effect from the date of publication.

# 教务部教务处关于转发学校文件《哈尔滨工业大学本科课程考核与成绩管理办法》的通知

校区各部、处、直属单位、学部、学院、研究院：

根据学校工作部署和校区工作要求，现转发学校《哈尔滨工业大学本科课程考核与成绩管理办法》（哈工大本〔2024〕323号）（详见附件），本办法自2025年春季学期起施行，适用于2024级及以后具有我校学籍的本科生，请各单位按照学校文件要求抓好落实。根据深圳校区实际情况将办法第五章第二十条、第二十一条、第六章第二十五条中关于医院等级的规定由“三级甲等医院或校医院”调整为“三级以上层次医院”。

特此通知。

附件：《哈尔滨工业大学本科课程考核与成绩管理办法》（哈工大本〔2024〕323号）

教务部教务处  
2025年1月2日

# 哈尔滨工业大学本科课程考核与成绩管理办法

哈工大本〔2024〕323号

（2024年12月23日哈尔滨工业大学2024年第22次校长办公会议审议通过 2024年12月26日哈尔滨工业大学发布）

## 第一章 总 则

**第一条** 课程考核是教学过程的重要环节，是检验学生学习成效的重要手段。为进一步规范本科课程考核与成绩管理，保证考核的公平性，根据《普通高等学校学生管理规定》（教育部令第41号），结合学校实际，制定本办法。

**第二条** 本办法所称课程，是指学校面向本科生开设的所有必修课和选修课。本办法所称学院，包括开设课程的所有单位。

**第三条** 本办法适用于2024级及以后具有我校学籍的本科生。来我校交流学习的本科生、选修本科课程的研究生参照本办法执行。

## 第二章 组织机构

**第四条** 课程考核与成绩管理工作实行校、院两级组织管理。

**第五条** 本科生院负责课程考核和成绩的统筹管理；审批各类与课程考核和成绩相关事项的申请；按相关规定处理教学事故及学生违纪作弊行为。

**第六条** 学院负责对教师和学生开展培训与指导；处理教师和学生提出的与课程考核和成绩管理相关的申请并做好审核把关。

## 第三章 课程考核基本要求

**第七条** 课程考核类型分“考试”和“考查”两种，在专业培养方案中予以规定。

**第八条** 课程具体考核方式应严格遵照该课程教学大纲执行，如同一门课程面向不同群体学生同时存在“考试”和“考查”两种考核类型的，可采用不同的考核方式，但须在课程教学大纲中予以明确。

**第九条** 学生须按规定时间完成选课并按要求完成课程各环节学习任务，方可获得该门课程的考核资格，考核成绩合格获得学分。未选课直接参加学习和考核的，不予登录成绩。无故缺课累计达到课程总学时三分之一及以上的学生，经授课教师认定后取消其参加课程考核资格。

## 第四章 成绩记载与管理

**第十条** 学生修读的所有课程成绩须真实、完整记载。

**第十一条** 课程考核成绩采用百分制、五等级制（A、B、C、D、F）或二等级制（P、NP）记载。考试课程须采用百分制记载成绩；必修考查课程、专业选修课程、全校公共选修课程等根据课程教学大纲要求可采用五等级制或二等级制记载成绩。

**第十二条** 以百分制记载成绩的课程，总评成绩 60 分以上（含）为合格；以五等级制记载成绩的课程，总评成绩 D 以上（含）为合格；以二等级制记载成绩的课程，总评成绩 P 为合格。

**第十三条** 除以二等级制记载成绩的课程外，其余课程总评成绩须通过平时考核和期末考核累加式评定，平时考核可由作业、随堂测试、实验、项目、期中考试等环节构成，期末考核可采用期末考试或大报告等形式。以二等级制记载成绩的课程自行确定是否采用累加式评定方式。

**第十四条** 被取消课程考核资格的学生，总评成绩按“0 分”“F”或“NP”记，并标注“取消资格”，同时取消其参加相应课程补考的资格，只能通过重修取得该课程学分。

未办理缓考或申请缓考未获批准的学生擅自不参加课程期末考核，总评成绩按“0 分”“F”或“NP”记，并标注“旷考”，同时取消其参加相应课程补考的资格，只能通过重修取得该课程学分。

考试违纪或作弊的，总评成绩按“0 分”“F”或“NP”记，并标注“违纪”或“作弊”，同时取消其参加相应课程补考的资格，处分解除后可通过重修取得该课程学分。

**第十五条** 平均学分绩是衡量学生学习质量的重要指标。某门课程的学分绩及学生平均学分绩分别按公式（1）和（2）计算：

$$\text{课程学分绩} = \text{该课程的学分} \times \text{该课程的总评成绩} \quad (1)$$

$$\text{平均学分绩} = \frac{\sum \text{考试课程学分绩}}{\sum \text{考试课程学分}} - \frac{\sum \text{考查课不及格学分数}}{\text{计算平均学分绩的学期数}} \quad (2)$$

转专业（集群/类）学生在转专业（集群/类）之前的考试课程按原专业（集群/类）执行计划认定，转专业（集群/类）之后的补修课程按考查课计入平均学分绩；降级学生在降级之前的考试课程按原年级执行计划认定。

**第十六条** 补考、重修、辅修等课程成绩，以及创新研修、创新实验、创新创业、新生研讨、文化素质教育、外专业课程、研究生课程、跨专业发展课程等课程成绩不计入平均学分绩，其余培养方案中规定的课程（含专业选修课）均参与学分绩计算。赴外校交流学习期间修读的课程成绩不计入平均学分绩。

**第十七条** 学校鼓励学生到其他高水平大学交流，因外出交流学习确应补修的考试课程，按考查课计入平均学分绩；其余类型的补修课程，按实际课程考核类型和总评成绩计入平均学分绩。



**第十八条** 课程考核成绩原则上在考核完成后一周内提交。如发现提交成绩有误，任课教师须在本科教学管理与服务平台中申请成绩修改并提供成绩原始记录、试卷、报告、作业等佐证材料，经学院审核，本科生院批准后准予更正。

**第十九条** 学生对某门课程的成绩有疑问时，可在成绩发布后5个工作日内申请成绩复核。开课学院应组建至少由3位教师组成的复核小组进行成绩复核，并给出结论。

## 第五章 免修、缓修、补修、自修

**第二十条** 因身体原因不能参加体育锻炼的学生，可持三级甲等医院或校医院出具的诊断书等证明材料申请免修体育课；军事技能课程根据《哈尔滨工业大学学生军事技能缓训、免训管理办法》要求办理免训手续。

其他课程如接受免修，应制定相应的实施细则，由所在学院审核后报本科生院审批。

**第二十一条** 因身体原因不能完成当学期体育锻炼的学生，可持三级甲等医院或校医院出具的诊断书等证明材料申请当学期缓修体育课；军事技能课程根据《哈尔滨工业大学学生军事技能缓训、免训管理办法》要求办理缓训手续，并在后续学期完成修读。

除体育课及军事技能课程外，其他必修课程原则上不允许缓修。

**第二十二条** 因转专业（集群/类）、外出交流学习等原因造成错过必修课程修读时间，且学院认定无法通过其他已修读课程进行学分认定的，应办理补修。

**第二十三条** 平均学分绩85分及以上的学生，可在每学期规定时间内，申请自修以理论教学为主且有期末考试的课程，经课程负责人和所在学院负责人批准后生效。自修课程的学生须参加课程期末考核，总评成绩以期末考核成绩折合后记载。学生每学期申请自修课程数量原则上不能超过两门。思想政治理论课程、军事理论课程、实践类课程不得申请自修。

## 第六章 缓考与补考

**第二十四条** 学生因代表学校参加大型活动或竞赛（因公）、发生疾病、家庭重大变故等原因不能参加课程期末考核的，可申请缓考；除上述原因外，课程期末考核一般不予缓考。课程的其他考核环节原则上不予缓考。

**第二十五条** 学生因公申请缓考，须提供学校或学院出具的相关证明材料；学生因病申请缓考，须提供三级甲等医院或校医院出具的病历及诊断书等证明材料。

**第二十六条** 思想政治理论实践课、军事技能、实习、课程设计等实践类课程不予缓考。独立设置的实验课，在教师确认学生已经完成实践环节的前提下，可以办理笔试环节的缓考。创新研修、创新实验、创新创业、新生研讨、文化素质教育等全校选修课程不予缓考。补考不予缓考。

**第二十七条** 获准缓考的学生可选择参加相应课程的补考，或在下一学年重新选课并参加考核。缓考所获总评成绩可累加评定，具体的成绩记载方式如下：

1.选择参加课程补考的学生，如缓考课程按百分制记载成绩，则缓考成绩按公式（3）计

算后予以记载（因代表学校参加大型活动或竞赛等公事获准缓考的，按实际分数记载）；缓考课程按五等级制或二等级制记载成绩的，缓考成绩按实际等级记载。

$$\text{缓考成绩} = \begin{cases} 60 + (\text{总评成绩} - 60) \times 0.75 & (\text{当总评成绩} \geq 60) \\ \text{总评成绩} & (\text{当总评成绩} < 60) \end{cases} \quad (3)$$

2. 获准缓考课程无补考或学生选择在下一学年重新选课并参加考核的，相应课程总评成绩在成绩单中如实记载。

缓考成绩不合格或旷考的，只能通过重修取得该课程学分。

**第二十八条** 毕业论文（设计）缓答辩、二次答辩等按《哈尔滨工业大学本科毕业论文（设计）工作管理办法》执行。

**第二十九条** 思想政治理论实践课、军事技能、独立设置实验课、实习、课程设计等实践类课程不设补考环节，考核未通过的只能通过重修取得该课程学分。创新研修、创新实验、创新创业、新生研讨、文化素质教育等全校公共选修课程不设补考环节，考核未通过的可再次选修同一门课程，或改选其他课程。除上述课程外，其余课程应设置补考。

**第三十条** 补考课程的总评成绩是否累加平时成绩由课程负责人根据课程具体情况确定，并应提前告知学生。

**第三十一条** 课程补考一般安排在下一个长学期开学前一周或开学初。

**第三十二条** 学生申请缓考、缓修、免修等事项所提供的证明材料须真实有效，如有弄虚作假，一经查实，学生相应课程总评成绩按“0分”“F”或“NP”记，同时取消相应课程的补考资格，并按《哈尔滨工业大学学生违纪处分办法》给予处分，处分解除后可通过重修取得该课程学分。

## 第七章 重 修

**第三十三条** 学生修读设置补考的必修课程首次考核和补考均不合格的，或修读不设补考的必修课程首次考核不合格的，须申请重修。选修类课程，学生可自行选择再次修读或改选其他课程。

**第三十四条** 在校生生申请课程重修，应在重修选课时间内提交申请，否则视为放弃当学期重修机会。

**第三十五条** 结业生可在最长学习年限内申请不合格课程重修，并按学分缴费。

**第三十六条** 重修课程总评成绩在成绩单中按实际成绩和实际获得学期记载。

## 第八章 附 则

**第三十七条** 本办法由本科生院负责解释。

**第三十八条** 本办法自发布之日起施行。原有相关规定与本办法不一致的，以本办法为准。

**Notice from Office of Academic Affairs, Department of Academic  
Affairs Regarding the Forwarding of “Measures for Undergraduate  
Course Assessment and Grade Management of Harbin Institute of  
Technology”**

January 2, 2025

All HIT departments,

In accordance with the arrangements of HIT and HIT, Shenzhen, we are forwarding the document “Measures for Undergraduate Course Assessment and Grade Management of Harbin Institute of Technology” (No. 323 [2024], HIT Undergraduate) for your action (see attachment). This measure will take effect from the spring semester of 2025 and is applicable to undergraduate students enrolled from the 2024 cohort onwards. Considering specific circumstances of the Shenzhen campus, the provisions of Articles 20 and 21 in Chapter 5, and Article 25 in Chapter 6, regarding hospital classifications have been revised from “a Grade-III Level-A hospital or the HIT Hospital” to “a Grade-III hospital or above”.

Thank you for your kind attention.

Attachment: “Measures for Undergraduate Course Assessment and Grade Management of Harbin Institute of Technology” (No. 323 [2024], HIT Undergraduate)

Office of Academic Affairs, Department of Academic Affairs

# Measures for Undergraduate Course Assessment and Grade Management of Harbin Institute of Technology

No. 323 [2024], HIT Undergraduate

(Approved at the 22nd meeting of HIT Presidential Executive Council in 2024 on December 23, 2024, and issued on December 26, 2024)

## Chapter I General Provisions

**Article 1** Course assessment is a critical component of the teaching process and a key method for evaluating students' learning outcomes. To further standardize the assessment and grade management of undergraduate courses and to ensure fairness in assessments, these Measures have been formulated in accordance with the "Regulations for Student Management in Regular Higher Education Institutions" (Order No. 41, Ministry of Education), while taking into account the specific circumstances of HIT.

**Article 2** The term "course" in these Measures refers to all required and elective courses offered to undergraduate students by the university. The term "college" in these Measures includes all departments that offer courses.

**Article 3** These Measures apply to all undergraduate students enrolled at HIT beginning with the 2024 cohort. They can also extend to undergraduate exchange students and graduate students who are enrolled in undergraduate courses.

## Chapter II Organizational Structure

**Article 4** Course assessments and grades are managed at two levels: the university and the colleges.

**Article 5** The Undergraduate College is responsible for coordinating course assessments and grades management, approving related applications, and addressing issues such as educational malpractice and student misconduct—including cheating—in accordance with relevant regulations.

**Article 6** Colleges are responsible for training and supporting both instructors and students, managing applications related to course assessments and grade management, and ensuring thorough review and oversight.

## Chapter III Basic Requirements for Course Assessment

**Article 7** Course assessments are divided into two types: "examination" and "evaluation", which are specified in the program curriculum.

**Article 8** The assessment method for each course must follow the course syllabus. If different

assessment types are used for different groups of students in a course, it must be clearly stated in the syllabus.

**Article 9** Students must complete course selection within the designated time and meet all required learning tasks to be eligible for assessment. Only students who pass the assessment will earn credits for the course. Students who attend the course or take the assessment without formally enrolling will not have their grades recorded. If a student accumulates unexcused absences amounting to one-third or more of the total class hours, their eligibility for assessment may be revoked once confirmed by the instructor.

## **Chapter IV Grade Recording and Management**

**Article 10** All grades for courses taken by students must be recorded accurately and completely.

**Article 11** Course grades are recorded using one of the following systems: 100-point scale, five grades (A, B, C, D, F), and two grades (P, NP). Exam-based courses must use the 100-point scale. Required evaluation-based courses, major electives, and university-wide public electives may use the five-grade or two-grade system, as specified in the course syllabus.

**Article 12** For courses graded on the 100-point scale, a final score of 60 or above is considered passing. For courses graded on the five-grade system, a final grade of D or above is considered passing. For courses graded on the two-grade system, a grade of P is considered passing.

**Article 13** Except for courses that use a two-grade system, final grades for all courses must be based on overall assessments, which include both formative assessments (such as coursework, in-class tests, experiments, projects, and mid-term exams) and final assessments (such as final exams and reports). For courses that use a two-grade system, the instructor will decide whether to use both assessment methods.

**Article 14** Students whose eligibility for course assessment has been revoked will have their final grade recorded as "0", "F", or "NP", with the note "Eligibility Revoked". These students will be ineligible for make-up exams and can only earn the credits by retaking the course.

Students who miss the final assessment without official approval—such as failing to apply for a deferred exam or having a deferral application denied—will have their final grade recorded as "0", "F", or "NP", with the note "Absence". They will also be ineligible for make-up exams and can only earn the credits by retaking the course.

Students who violate exam rules or cheat will have their final grade recorded as "0", "F", or "NP", with the note "Violation" or "Cheating". They will also be ineligible for make-up exams and can only earn the credits by retaking the course after any penalties are lifted.

**Article 15** The Weighted Average Score is a key indicator of a student's academic performance. The credit-weighted score of a course is calculated as follows:

*Credit-weighted score of a course = credits of the course × final score of the course* (Formula 1)

*Weighted Average Score*

$$= \frac{\sum \text{Credit} - \text{weighted scores of exam} - \text{based courses}}{\sum \text{Credits of exam} - \text{based courses}} \\ - \frac{\sum \text{Credits of evaluation} - \text{based courses}}{\text{Number of the term when the Weighted Average Score is calculated}}$$

(Formula 2)

For students who change their major or field of study, exam-based courses taken prior to the change will be assessed based on the standards of their original program. Any courses retaken after the change will be treated as evaluation-based courses and factored into the Weighted Average Score accordingly. For students who are downgraded, exam-based courses completed before the downgrade will be assessed according to the standards of their previous grade level.

**Article 16** Grades from make-up exams, retaken courses, minor courses, and certain special courses—such as innovation workshops, innovation lab sessions, innovation and entrepreneurship courses, freshman seminars, cultural education courses, courses from other departments, graduate-level courses, and cross-disciplinary courses—are excluded from the calculation of the Weighted Average Score. However, all other courses outlined in the program curriculum, including major electives, will be included in the calculation of the Weighted Average Score. Grades for courses taken during exchange programs at other universities will not be included in the Weighted Average Score.

**Article 17** HIT encourages student exchanges with other prestigious institutions. If a student takes an exam-based course as a make-up due to such an exchange, it will be counted as an evaluation-based course in the calculation of the Weighted Average Score. Other make-up courses will be included in the Weighted Average Score based on their respective assessment methods and final grades.

**Article 18** As a rule, course grades should be submitted within one week of the final assessment. If errors are identified in the submitted grades, the instructor must request a correction through the Academic Management and Service Platform. This request must include supporting materials such as original records, exam papers, reports, and coursework. The correction will only be processed after review by the college and approval by the Undergraduate College.

**Article 19** If a student is not satisfied with their course grades, they may request a grade review within 5 working days of the grade release. The college offering the course should establish a review panel of at least three faculty members to evaluate the request and provide a final decision.

## **Chapter V Course Exemption, Deferral, Make-up, and Independent Study**

**Article 20** Students unable to participate in physical education courses due to health reasons may apply for an exemption by submitting a medical certificate from a Grade-III Level-A hospital or the HIT Hospital. For military skills courses, exemption procedures should follow the “Measures for Management of Deferral and Exemption of Student Military Skills Training of Harbin Institute of Technology”.

For exemptions from other courses, corresponding implementation guidelines should be established, which must be reviewed by the respective colleges and approved by the Undergraduate College.

**Article 21** Students unable to complete physical education courses during a term due to health reasons may apply for a deferral by submitting a medical certificate from a Grade-III Level-A hospital or the HIT Hospital. For military skills courses, deferral procedures should follow the “Measures for Management of Deferral and Exemption of Student Military Skills Training of Harbin Institute of Technology”, and the courses must be completed in a subsequent term.

Deferrals for other required courses are generally not permitted.

**Article 23** Students who miss required courses due to reasons such as changing majors/fields of study or participating in exchange programs, and for whom their college determines that other completed courses cannot fulfill the credit requirements, must take a make-up course.

**Article 23** Students with a Weighted Average Score of 85 or higher may apply for independent study of theoretical courses with final exams during the designated period each term. This application requires approval from both the course instructor and the head of the respective college. Students granted approval for independent study must complete the final assessment, and their final grade will be based solely on the assessment result. A student may apply for no more than two independent-study courses per term. Independent study is not permitted for political theory courses, military theory courses, or practical courses.

## **Chapter VI Deferred and Make-up Exams**

**Article 24** Students who are unable to attend a course’s final assessment due to official duties (such as representing HIT at major events or competitions), illness, major family emergencies, or other valid reasons may apply for a deferral. In general, deferrals for final assessments will not be granted for reasons other than those listed above. As a rule, deferred exams are not permitted for other course assessments.

**Article 25** Students applying for a deferred exam due to official reasons must provide relevant documentation from the university or college. Students applying for a deferred exam due to illness must submit medical records and a diagnosis certificate from a Grade-III Level-A hospital or the HIT Hospital.

**Article 26** Deferred exams are not permitted for political education practical courses, military skills, internships, course projects, or other practical sessions. For independent lab courses, a deferred written exam may be allowed, provided the instructor confirms that the student has completed the practical components. Deferred exams are also not allowed for innovation workshops, innovation lab sessions, innovation and entrepreneurship courses, freshman seminars, cultural education, or other university-wide elective courses. Make-up exams are not allowed to be deferred.

**Article 27** Students approved for a deferred exam may choose to either take the corresponding

course's make-up exam or re-enroll in the course during the next academic year to complete the assessment. The final grade for a deferred exam may be determined through multiple assessments, with the grading method as follows:

1. For students taking the make-up exam: If the course uses a 100-point scale, the course grade will be calculated and recorded using Formula 3. However, students granted a deferral due to official duties (e.g., participation in major events or competitions) will have their actual score achieved in the exam recorded; If the course uses the five-grade or two-grade system, the actual grade achieved in the exam will be recorded.

*Score for a deferred exam*

$$= \begin{cases} 60 + (\text{Overall assessment result} - 60) \times 0.75 & (\text{When overall assessment result} \geq 60) \\ \text{Overall assessment result} & (\text{When overall assessment result} < 60) \end{cases} \quad (\text{Formula 3})$$

2. For courses without a make-up exam or for students who choose to re-enroll in the course during the next academic year to complete the assessment, the final grade will be accurately recorded on the transcript.

If a student fails the deferred exam or is absent, course credit can only be earned by retaking the course.

**Article 28** For deferred thesis or graduation project defenses, second defenses, etc., the “Measures for Management of Undergraduate Theses and Graduation Projects of Harbin Institute of Technology” will apply.

**Article 29** Make-up exams are not allowed for political education practical courses, military skills, independent lab courses, internships, course projects, or other practical courses. Students who fail these assessments must retake the course to earn the corresponding credits. Make-up exams are also not permitted for innovation workshops, innovation lab sessions, innovation and entrepreneurship courses, freshman seminars, cultural education, or other university-wide elective courses. Students who fail these assessments may either retake the same course or select an alternative course. For all other courses, make-up exams should be offered.

**Article 30** Whether the final grade for a make-up exam includes formative assessment results will be determined by the course instructor. Students should be informed of this in advance.

**Article 31** Make-up exams are typically scheduled either one week before the start of the next long term or at its beginning.

**Article 32** Students applying for exam deferrals, course deferrals, exemptions, or other similar matters must provide authentic and valid documentation. Any falsification of documentation will result in the student's final grade for the relevant course being recorded as "0", "F", or "NP", and they will be disqualified from taking a make-up exam. Additionally, they will face disciplinary action in accordance with the “Student Disciplinary Measures of Harbin Institute of Technology” . After the penalty is lifted, credits for the course may only be earned by retaking it.



## **Chapter VII Course Retake**

**Article 33** Students who fail both the initial assessment and the make-up exam for a required course that offers a make-up exam, or who fail the initial assessment for a required course that does not offer a make-up exam, must apply to retake the course. For elective courses, students may choose to retake the same course or select an alternative course.

**Article 34** Students wishing to retake a course must submit their application within the designated retake registration period. Failure to do so will result in the loss of the opportunity to retake the course that term.

**Article 35** Students who have completed their program without a degree may apply to retake failed courses within the maximum allowed study period. They must pay tuition fees based on the course credits.

**Article 36** The final grade for a retaken course will be recorded on the transcript with the actual grade achieved and the term in which it was earned.

## **Chapter VIII Supplementary Provisions**

**Article 37** The Undergraduate College is responsible for interpreting these Measures.

**Article 38** These Measures take effect as of the date of issuance. In case of any discrepancy with previous measures, this document shall prevail.

# 哈尔滨工业大学本科生实习管理办法

哈工大本〔2024〕305号

（2024年11月25日哈尔滨工业大学2024年第20次校长办公会议审议通过 2024年12月13日哈尔滨工业大学发布）

## 第一章 总 则

**第一条** 为进一步加强和规范本科生实习管理，完善学生实习实践制度，提高实习教学质量，根据《教育部关于加强和规范普通本科高校实习管理工作的意见》（教高函〔2019〕12号）文件精神 and 《普通高等学校本科专业类教学质量国家标准》要求，结合学校实际，制定本办法。

**第二条** 本办法所指实习，是指我校全日制本科生按照培养方案安排在校内或到校外政府机关、企（事）业等单位（以下简称实习单位）进行的教学活动，须严格按照各专业培养方案、实习教学大纲和实习计划安排进行。

**第三条** 实习按照教学目标分为认识实习、生产实习、毕业实习等类型。按照组织形式分为集中实习和分散实习。集中实习是指由学校统一组织集中开展的实习教学；分散实习是指经学校批准学生自行选择实习单位开展的跟岗、顶岗实习。

**第四条** 本办法适用于我校各学院、学部、校区（以下简称学院）组织开展的实习。

## 第二章 管理职责

**第五条** 学校是实习管理的主体，学校党政主要负责人是第一责任人，分管人才培养的校领导是直接领导责任人，负责建立学校实习运行保障体系。

**第六条** 本科生院是实习的管理部门，主要职责是：

- （一）制定和完善学校实习管理办法。
- （二）组织学院制定实习教学大纲。
- （三）组织开展实习教学改革与研究。
- （四）审核学院实习计划。
- （五）指导各学院建设实习基地。
- （六）统筹分配学校实习经费，监管学院实习经费使用。
- （七）检查、督导学院实习教学秩序与实习质量。
- （八）建设和完善学校实习信息化管理平台。

**第七条** 学院是组织实施实习的责任主体，主要职责是：

- （一）做好学生实习全过程的思想政治教育，加强学生意识形态、保密、安全教育，密

切关注学生的思想动态和身心健康状况。

（二）系统设计学院实习教学体系。

（三）依据学校实习管理办法，建立健全学院实习管理制度。

（四）建设实习基地，与实习单位签订有关协议；会同实习单位落实管理责任、开展实习教学研究与改革、做好安全风险及其他突发事件的处置。

（五）培养实习指导教师队伍。

（六）做好学生实习期间的日常管理工作。

（七）统筹分配和管理学院实习经费。

（八）组织学院指导教师填报实习有关信息。

### 第三章 组织与管理

**第八条** 学院在确定实习单位前须进行实地考察评估，确定满足实习条件后，应与实习单位签订合作协议，明确双方的权利、义务以及管理责任。分散实习须签订学院、实习单位、学生三方实习协议，明确各自的权利义务和责任。

**第九条** 学院和实习单位应分别选派政治过硬、经验丰富、业务素质好、责任心强、安全防范意识高的教师和技术人员全程管理、指导学生实习。学院须在与实习单位签订的合作协议中明确实习单位指导教师的资格要求，以及实习单位指导教师对实习学生的实习指导、思想政治教育、安全和保密教育等职责。

**第十条** 学院应会同实习单位制订实习计划、实习安全风险处置及突发事件应急预案等。学院须根据专业特点和实习内容，确定实习组织形式，并按照学校要求报送实习开课计划。

**第十一条** 学院须在报送开课计划前确定校内指导教师，校内指导教师须由讲师（或相当职称）及以上人员担任。学院应按师生比在 1：15 至 1：20 之间的原则进行校内指导教师选配；专业学生人数不足 15 人的，可选配 1 位校内指导教师；集中实习人数较多时，学院应确定 1 位领队教师，负责整体实习工作的安排及协调。领队教师应具有高级职称，具有丰富的教学和指导实习经验，有一定组织管理能力。

**第十二条** 学院须参照《哈尔滨工业大学课堂教学准入、认证及退出管理办法》，对初次承担实习指导任务的校内指导教师进行岗前培训和考核，校内指导教师经考核通过后方可上岗。

#### **第十三条 实习过程管理**

（一）实习前，学院应组织师生召开实习动员大会暨实习工作布置会，开展行前思想政治教育，实习安全、保密及纪律教育，以及必要的安全应急措施培训，并为外出实习师生购买实习责任险或人身伤害意外险。

（二）实习过程中，学院与实习单位须做好实习安排，并要求指导教师做好实习指导工作和学生的日常管理工作。指导教师和学生辅导员要了解学生的思想动态和身心状况。学生辅导员须通过线上或线下方式对学生开展思想政治教育，提供必要的心理健康咨询服务，加

强实习过程心理疏导。

（三）实习结束，学院应组织指导教师开展实习工作总结和交流活动，做好实习成绩记载和教学资料归档工作。归档资料包括但不限于：实习教学大纲、实习计划、实习协议、实习基地协议、实习工作总结等实习教学文件，以及学生的实习报告、实习成绩单等资料。实习教学档案资料由学院以电子扫描版或纸质版形式保存，保存期限至少 5 年。

**第十四条** 在实习期间，师生须遵守实习单位的安全、保密等制度和实习纪律。学院实习安全事项管理及事故处理按照《哈尔滨工业大学安全生产责任制实施办法》等有关文件执行。

**第十五条** 学院和实习单位要为学生提供必要的实习、生活条件及安全健康的环境，不得安排学生到娱乐性场所实习。严禁委托中介机构或者个人代为组织和管理学生实习相关工作。

**第十六条** 学院应组织、鼓励学生“走出去”，开展具有创新性、自主性和挑战性的高质量顶岗实习，并为其提供组织和管理保障。对实习离学籍所在地、时间连续超过 30 天的学生，学院应按照《哈尔滨工业大学学生异地培养管理办法》进行管理。

## 第四章 指导教师和学生

**第十七条** 校内指导教师应编制实习教学大纲，须严格按照《哈尔滨工业大学本科生实习指导教师工作守则》（附件 1）指导学生实习，严格管理学生，并做好实习安全教育和其他与实习教学和管理相关的工作。校外指导教师参照执行。

**第十八条** 实习学生须严格遵守《哈尔滨工业大学本科生实习守则》（附件 2）及学校和实习单位制定的其他相关规章制度。

## 第五章 经费管理

**第十九条** 本科生实习经费由本科生院下拨至各学院，从学校本科教育教学经费中列支（深圳校区和威海校区参照执行）。学院应本着“合理开支、严格审查、厉行节约、高效使用”的原则对经费进行管理和使用。

**第二十条** 学院应积极争取实习单位支持和社会资源，筹措补充实习教学经费。

**第二十一条** 实习经费的开支和报销按照《哈尔滨工业大学本科生实习经费管理办法》执行。

## 第六章 附 则

**第二十二条** 本办法由本科生院负责解释。

**第二十三条** 本办法自发布之日起施行。

附件：1.哈尔滨工业大学本科生实习指导教师工作守则

2.哈尔滨工业大学本科生实习守则

## 附件 1

### 哈尔滨工业大学本科生实习指导教师工作守则

**第一条** 负责实习全面工作。落实立德树人根本任务，做到言传身教。做好学生的思想政治工作，了解学生的身心健康、学习和安全情况。

**第二条** 了解和熟悉实习单位情况，与实习单位相关人员共同依据实习大纲制订实习计划。

**第三条** 参加学院组织召开的实习动员大会，在出发前向学生介绍实习计划和实习单位的基本情况，给学生发放实习有关材料；做好实习学生的行前培训、安全和保密教育，并做好实习过程安全防范工作。

**第四条** 做好实习准备工作，安排好集中实习学生的行程和食宿；通知学生准备实习用具和劳保用品等；购买指导教师和学生的人身意外伤害保险；办理实习单位要求的相关手续。

**第五条** 指导学生集中实习，须会同实习单位指导教师现场指导实习教学；指导学生撰写实习日记和实习报告，并及时检查和评阅。

**第六条** 指导分散实习，要掌握学生的联系方式和去向，每周应与学生联系不少于 2 次，并定期向实习单位指导教师或管理部门负责人了解学生的在岗情况和实习进展情况，配合实习单位指导教师做好学生的实习指导工作；必要时，可前往分散实习单位进行指导。

**第七条** 发现学生在实习期间有违规违纪行为时，应及时予以批评教育；对情节严重的，须立即向学院和实习单位报告，必要时可暂停或取消其实习资格。

**第八条** 时刻关注学生思想动态、身心状态，如遇学生突发疾病、受到意外伤害等突发情况，应及时向学院和实习单位报告，并根据实际情况采取相应措施进行处置。所指导分散实习的学生出现无法取得联系等情况，应立即上报学院。

**第九条** 审批实习学生请假，保持与实习单位的密切联系和有效沟通，维护好与实习单位的良好合作关系。

**第十条** 组织学生实习考核，按照实习大纲规定确定学生最终实习成绩。

**第十一条** 做好实习总结、实习经费报销、实习教学资料归档和实习有关信息填报等工作。

**第十二条** 实习期间，不得擅自离岗。原则上不得请假。因特殊情况必须请假时，须经所在学院主管教学领导批准，并安排好替换教师后方可离开。

**第十三条** 因履职中的过失或主观过错行为，影响实习教学秩序、教学进程和教学质量，造成教学事故的，按照《哈尔滨工业大学教学事故认定和处理办法》进行认定和处理。

## 附件 2

### 哈尔滨工业大学本科生实习守则

**第一条** 按照培养方案和实习教学大纲的要求完成全部实习任务。因故不能参加实习的，应在实习前按照《哈尔滨工业大学学生请销假管理办法》要求，办理请假手续。

**第二条** 参加实习前学院组织的各项教育活动，熟知实习的目的和意义，了解实习计划、实习纪律、安全和保密等相关要求。

**第三条** 认真做好实习预习和日记，撰写实习报告，完成指导教师布置的作业等；参加指导教师组织的考核环节。

**第四条** 分散实习，须本人征得家长同意后向学院提出申请，并在签订学院、实习单位、学生三方实习协议后方可进行实习。分散实习结束，须向校内指导教师提交实习单位鉴定。

**第五条** 实习期间，原则上不得请假，不得迟到、早退和旷课；不得擅自离开实习单位或在外留宿，特殊情况下需凭有关证明和依据向校内指导教师请假。分散实习期间，请假 2 天（含）以内的应征得实习单位指导教师同意并提前向校内指导教师报备；请假超过 2 天的需要实习单位和所在学院同时批准。

**第六条** 无故缺勤累计达到或超过实习教学时数三分之一的，取消实习考核资格；取消实习考核资格或实习成绩不合格的不安排补考。

**第七条** 尊重实习指导教师和现场技术人员，服从实习指导教师的领导和安排；分散实习期间须主动保持与校内指导教师的联系，接受指导教师的检查和指导。

**第八条** 严格遵守各项纪律要求，注意文明礼貌，团结互助，遵守社会公德，自觉维护公共秩序，维护学校声誉；遵守实习单位的安全、保密制度与劳动纪律，服从现场教育管理；遵守生产流程、操作规范等技术操作规程，未经允许不得动用非指定设备。尊重企业文化，按实习单位要求着装、防护和实习。实习过程中出现异常情况，须立即向指导教师报告。

**第九条** 实习期间及往返途中，要强化安全意识，注意人身和财务安全，严防各类意外事故发生。

**第十条** 实习期间违规违纪或实习鉴定弄虚作假的，按照《哈尔滨工业大学学生违纪处分办法》处理，存在违法行为的交由相关执法部门依法处理。

**第十一条** 因违反安全规程或实习纪律造成自身伤害的，由学生本人负责；造成他人伤害或国家财产损失的，由学生本人承担相应的经济 and 法律责任。

# Measures for Management of Undergraduate Internships of Harbin Institute of Technology

No. 305 [2024] , HIT Undergraduate

(Approved at the 20th meeting of HIT Presidential Executive Council in 2024 on November 25, 2024, and issued on December 13, 2024)

## Chapter I General Provisions

**Article 1** These Measures are established to strengthen and regulate the management of undergraduate internships, improve the internship and practical training system, and enhance the quality of internships. They are formulated in accordance with the “Opinions of the Ministry of Education on Strengthening and Regulating Internship Management in Regular Undergraduate Institutions” and the “National Standards for Educational Quality in Professional Undergraduate Programs at Regular Higher Education Institutions”, taking into account the specific circumstances of Harbin Institute of Technology (HIT).

**Article 2** For the purposes of these Measures, "internship" refers to the practical training activities assigned to full-time undergraduate students at our university. These activities may take place either on-campus or at external organizations, such as government agencies, public institutions, businesses, or other institutions (hereinafter referred to as the "internship provider"). All internships must follow the training plans of the respective programs, the designated internship syllabus, and the corresponding internship plan.

**Article 3** Internships are classified according to teaching objectives and organizational structure as follows:

(I) By Teaching Objectives:

- Orientation Internships: Designed to introduce students to their field of study and provide initial exposure to professional environments.
- Production Internships: Focused on practical, hands-on training in a professional setting, allowing students to apply theoretical knowledge.
- Graduation Internships: A final, comprehensive internship intended to integrate learning and prepare students for their future careers.

(II) By Organizational Structure:

- University-Coordinated Internships: Organized and managed by the university, where all aspects of the internship are coordinated in a unified manner.
- Independent Internships: Allow students, with approval from the university, to independently select internship providers where they can gain hands-on experience through job-shadowing or on-the-job training.

**Article 4** These Measures apply to internships organized and managed by all the schools and campuses (hereinafter collectively referred to as “the schools”) of our university.

## **Chapter II Management Responsibilities**

**Article 5** The university is the primary entity responsible for the management of internships, with senior leadership holding ultimate accountability. The university leaders in charge of talent development bear direct responsibility, tasked with establishing and maintaining a robust system to support and ensure the effective operation of internships.

**Article 6** The Undergraduate College is responsible for management of internships, with the following primary duties:

- (I) Develop and continuously improve the university's internship management guidelines.
- (II) Coordinate the development and implementation of internship syllabuses across the university.
- (III) Promote and support innovations and research in internship training.
- (IV) Review internship plans of the schools.
- (V) Offer guidance on development of internship bases across schools.
- (VI) Allocate and manage the university's internship funding, ensuring its proper use by the schools.
- (VII) Monitor and evaluate the quality and coordination of internship training across schools.
- (VIII) Develop and continuously enhance the university's internship information management platform.

**Article 7** The schools are the primary entities responsible for organizing internships and have the following key responsibilities:

- (I) Provide guidance on safety, ethics, and professional conduct throughout the internship, ensuring students are informed about topics such as confidentiality, safety, mental well-being, and overall professional ethics.
- (II) Design the develop their respective internship training systems in a systematic manner.
- (III) Develop and refine their internship management systems, ensuring alignment with university-wide guidelines.
- (IV) Develop internship bases and establish agreements with internship providers. Work with these providers to define and implement management responsibilities, promote research and reform in internship training, and address safety risks and emergencies.
- (V) Build teams of qualified internship supervisors.
- (VI) Manage the daily operations of student internships.
- (VII) Allocate and manage the college's internship funding.
- (VIII) Coordinate with internship supervisors to gather relevant data and updates on internships.

## **Chapter III Organization and Management**

**Article 8** Before selecting an internship provider, the schools must conduct an on-site evaluation to ensure that the provider meets all required conditions for hosting internships. Upon confirmation, the schools are responsible for establishing a cooperation agreement with the provider, clearly outlining the rights, obligations, and management responsibilities of both parties. For independent internships, a tripartite agreement must be signed by the school, the internship provider, and the student. This agreement should clearly define the rights, obligations, and responsibilities of each party involved.



**Article 9** Both the schools and internship providers should designate reliable, experienced, competent, responsible, and safety-conscious faculty and technical staff to manage the entire internship process and offer guidance to the students. The schools must outline, in their cooperation agreements with internship providers, the qualifications required for internship supervisors, as well as their responsibilities in guiding the interns, providing education on values, conduct, safety, and confidentiality.

**Article 10** The schools should work with the internship providers to develop an internship plan, establish safety measures and emergency response plans. The schools must determine how the internship will be conducted, based on the characteristics of the corresponding major and the content of the internship, and submit the internship course plan in accordance with the university's guidelines.

**Article 11** The schools must designate internal supervisors before submitting the course plan. These supervisors should hold at least the rank of lecturer (or an equivalent title). The supervisor-to-student ratio should be 1:15 to 1:20. For a student group smaller than 15 students, a single internal supervisor may be assigned. For larger groups in university-coordinated internships, the schools should appoint a lead supervisor oversee and coordinate the internship. The lead supervisor should have a senior professional title, extensive experience in teaching and internship supervision, and strong organizational and management skills.

**Article 12** The schools must adhere to the “Classroom Teaching Admission, Certification, and Exit Management Measures of Harbin Institute of Technology” to provide pre-service training and assessment for internal supervisors taking on internship guidance for the first time. The supervisors may begin their duties only after successfully passing the assessment.

**Article 13 Internship Process Management**

(I) Before the Internship: The schools should organize a pre-internship orientation for both the supervisors and students, covering values and conduct education, safety, confidentiality, and disciplinary guidelines, provide training on emergency procedures, and purchase internship liability insurance or personal injury and accident insurance for the internship participants.

(II) During the Internship: The schools and the internship providers must coordinate internship arrangements and ensure that the supervisors ensure supervisors provide guidance and oversee daily activities. Supervisors and student counselors should monitor students' mental and physical well-being. Counselors must conduct ongoing values and conduct education, provide psychological counseling, and offer continuous support, both online and offline, throughout the internship.

(III) After the Internship: The schools should organize a debriefing session with the supervisors to review and summarize the internship experience. Internship grades should be recorded, and relevant materials should be archived. Archived materials should include internship syllabuses, internship plans, agreements, work summaries, student's internship reports, and transcripts. The internship records should be retained by the schools in electronic or hard copies for at least five years.

**Article 14** Both the supervisors and students must must comply with the safety, confidentiality, and other regulations set by the internship provider. For internship safety management and accident

response, please follow the “Measures for Implementation of Safe Production Responsibilities of Harbin Institute of Technology” and other relevant policies.

**Article 15** The schools and the internship providers must ensure that students have the necessary conditions for their internships, including proper accommodation and a safe, healthy environment. Internships at entertainment venues are strictly prohibited. The organization and management of student internships must not be outsourced to intermediaries.

**Article 16** The schools should encourage students to pursue high-quality, innovative, and challenging internships outside the campus, promoting independence while offering the necessary organizational and management support. For internships located outside the city of a student's enrolled institution and lasting more than 30 consecutive days, the schools must manage these internships in accordance with the “Regulations on Off-site Training for Students of Harbin Institute of Technology”.

#### **Chapter IV Supervisors and Students**

**Article 17** Internal supervisors are responsible for developing the internship syllabuses and providing thorough guidance to students throughout their internships, in line with the "Code of Conduct for Undergraduate Internship Supervisors of Harbin Institute of Technology"(Attachment 1). They should ensure effective student management, deliver comprehensive safety education, and fulfill all other responsibilities related to internship teaching and management. External supervisors should follow similar guidelines and responsibilities.

**Article 18** Students participating in internships must adhere strictly to the “Code of Conduct for Undergraduate Interns of Harbin Institute of Technology” (Attachment 2) and follow all relevant rules and regulations set by both the university and the internship providers.

#### **Chapter V Funding Management**

**Article 19** Undergraduate internship funds are allocated to each school by the Undergraduate College, with expenses covered by the university’s undergraduate education and teaching budget. The same guidelines apply to the Shenzhen and Weihai campuses. The schools are responsible for managing and utilizing these funds in a manner that ensures fiscal responsibility, thorough oversight, cost-effectiveness, and operational efficiency.

**Article 20** The schools should actively seek support from internship providers and other external sources to supplement funding for internship programs.

**Article 21** The disbursement and reimbursement of internship funds must comply with the “Measures for Management of Undergraduate Internship Funding of Harbin Institute of Technology” .

## **Chapter VI   Supplementary Provisions**

**Article 22** The Undergraduate College is responsible for interpreting these Measures.

**Article 23** This document is effective as of the date of issuance.

**Attachments:**

1. Code of Conduct for Undergraduate Internship Supervisors of Harbin Institute of Technology
2. Code of Conduct for Undergraduate Interns of Harbin Institute of Technology

## **Attachment 1**

### **Code of Conduct for Undergraduate Internship Supervisors of Harbin Institute of Technology**

**Article 1** Supervisors should oversee the entire internship process, integrate character education throughout the process, lead by example, monitor students' physical and mental well-being, track their academic progress, and ensure their safety during the internship.

**Article 2** Supervisors should familiarize themselves with the internship provider and collaborate with its staff to develop an internship plan aligned with the internship syllabus.

**Article 3** Supervisors should attend the internship orientation organized by their school, brief students on the internship plan and details about the internship provider before the placement, distribute relevant materials; provide pre-departure training, inform students about safety and confidentiality, and ensure that all necessary safety measures are in place for the duration of the internship.

**Article 4** Supervisors should make careful preparation for the internship, arrange travel, accommodation, and meals for students in university-coordinated internships; tell students to prepare necessary tools and personal protective equipment; secure personal accident insurance for both the students and themselves; ensure all required formalities with the internship provider are completed.

**Article 5** For university-coordinated internships, supervisors should work with the internship provider's staff to offer on-site guidance to students; guide students in regularly writing internship diaries and reports, monitor their progress, and provide ongoing evaluations.

**Article 6** For independent internships, supervisors should track students' contact information and whereabouts, communicate with them at least twice a week, maintain regular contact with the internship provider to monitor progress and performance, cooperate with the internship providers to offer guidance and, when necessary, make on-site visits to provide support.

**Article 7** If students violate regulations or engage in misconduct, supervisors must address the issue promptly, offering corrective feedback and educational guidance. In severe cases, the incident must be reported immediately to both the school and the internship provider. If necessary, the student's internship eligibility may be suspended or revoked.

**Article 8** Supervisors should continuously monitor students' physical and mental well-being. In the event of illness, injury, or any emergency, supervisors must promptly report the situation to both the school and the internship provider and take appropriate action. If a student in an independent internship cannot be reached, the supervisor must immediately inform their school.

**Article 9** Supervisors are responsible for reviewing and approving students' leave requests, ensuring effective coordination with the internship provider, and fostering a positive working relationship.

**Article 10** Supervisors are responsible for organizing and conducting internship evaluations. Final internship grades must be determined based on the internship syllabus and the student’s overall performance.

**Article 11** Supervisors must complete internship summaries, process any expense reimbursements, ensure the proper archiving of internship materials and accurate reporting of all internship-related information.

**Article 12** Supervisors must not leave their post during the internship without prior approval. Leave is generally not permitted. However, in exceptional cases, leave may be granted with approval from their school’s leaders in charge of academic affairs, and a substitute supervisor must be arranged before the original supervisor takes leave.

**Article 13** In the event of negligence or misconduct that disrupts the internship process, teaching progress, or affects the quality of education—constituting educational malpractice—the situation will be addressed in accordance with the “Measures for Identification and Response to Educational Malpractice of Harbin Institute of Technology”.

## **Attachment 2**

### **Code of Conduct for Undergraduate Interns of Harbin Institute of Technology**

**Article 1** Students must complete all tasks outlined in their training plan and syllabus. If a student is unable to participate in the internship, they must submit a leave application in accordance with the “Measures for Student Leave Management of Harbin Institute of Technology” before the internship begins.

**Article 2** Students must participate in all pre-internship educational activities organized by their school, understand the purpose and significance of the internship, and familiarize themselves with the internship plan, internship rules, and requirements regarding safety, confidentiality, and other related aspects.

**Article 3** Students must thoroughly prepare for the internship, keep an internship diary, write reports, complete any assignments given by the supervisors, and participate in all assessments they organize.

**Article 4** For independent internships, students must obtain consent from their parents, submit an application to their school, and sign a tripartite agreement between the school, the internship provider, and themselves before proceeding with the internship. Upon completion of the internship, students are required to submit the internship evaluation from the provider to their internal supervisor.

**Article 5** Students are generally not allowed to take leave, arrive late, leave early, or be absent during the internship.

They must not leave the internship provider's premises without permission or stay overnight elsewhere. In exceptional cases where leave is necessary, students must submit a leave request to their internal supervisor, along with the relevant supporting documentation. For independent internships, leave requests of 2 days or less require approval from the internship provider's supervisor and prior notification to the internal supervisor. Leave of over 2 days requires approval from both the internship provider and the school.

**Article 6** If a student accumulates unauthorized absences exceeding one-third of the total internship hours, they will be disqualified from the internship assessment. Students who are disqualified or fail the assessment will not be allowed to take a make-up assessment.

**Article 7** Students must show respect for internship supervisors and on-site technical staff, following their guidance and instructions. For independent internships, students are required to keep regular contact with their internal supervisor and follow their ongoing supervision and guidance.

**Article 8** Students must adhere to all disciplinary requirements and maintain a professional, respectful demeanor at all times. They should cooperate with colleagues, uphold social ethics,

respect public order, and protect the university's reputation. Students must comply with the internship provider's safety, confidentiality, and work rules, and follow the established production processes and operational standards. Unauthorized use of equipment is strictly forbidden. Students should respect the internship provider's corporate culture, dress codes, and safety protocols. If any unusual situation arises during the internship, students must report it to their supervisor immediately.

**Article 9** Students should prioritize safety during the internship and while traveling, and take measures to protect their personal and financial safety.

**Article 10** Any violation of regulations, misconduct, or falsification of internship evaluations will be handled according to the “Student Disciplinary Measures of Harbin Institute of Technology” . Any illegal actions will be reported to the relevant law enforcement authorities for legal proceedings.

**Article 11** Students are liable for any injuries incurred as a result of violating safety regulations or internship rules. If a student's actions cause harm to others or damage property, they will be held responsible for the financial and legal consequences.

03

研究生培养 Postgraduate Cultivation





# 哈尔滨工业大学研究生培养工作规定

哈工大研〔2023〕170 号

（2023 年 8 月 20 日中共哈尔滨工业大学第十三届委员会常务委员会第 105 次会议审议通过  
2023 年 8 月 25 日哈尔滨工业大学发布）

## 第一章 总 则

**第一条** 为规范哈尔滨工业大学研究生培养管理工作，提升研究生培养质量，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》、《教育部国家发展改革委财政部关于加快新时代研究生教育改革发展的意见》、《专业学位研究生教育发展规划（2020-2025）》以及《哈尔滨工业大学章程》等有关文件精神，结合学校实际，制定本规定。

**第二条** 本规定适用于哈尔滨工业大学硕士、博士研究生培养各环节工作（港澳台研究生、国际研究生参照执行）。

## 第二章 培养目标

**第三条** 坚持以习近平新时代中国特色社会主义思想为指导，全面贯彻党的教育方针，贯彻落实习近平总书记致哈尔滨工业大学建校 100 周年贺信精神，坚定走内涵式发展道路，以立德树人、服务需求、提高质量、追求卓越为主线，面向世界科技前沿、面向经济主战场、面向国家重大需求、面向人民生命健康，坚持为党育人、为国育才，全面提高人才自主培养质量，培养信念执著、品德优良、知识丰富、本领过硬、具有国际视野、引领未来发展的新时代杰出人才。要求如下：

（一）掌握辩证唯物主义和历史唯物主义的基本原理，树立科学的世界观与方法论。秉承“规格严格，功夫到家”的校训，树立和弘扬哈工大精神。

（二）遵纪守法，诚信公正，恪守伦理道德，具有社会责任感。具备严谨的科研作风、广阔的国际视野、多学科背景下的团队合作能力和沟通交流能力。具有自主学习和终身学习的意识，具备不断学习和适应发展的能力。

（三）硕士研究生应能够适应科学进步及社会发展的需要，在本学科或者专业领域掌握坚实的基础理论和系统的专门知识；掌握本学科或者专业领域的现代实验方法、工具和技能；掌握至少一门外国语言，并具有一定的国际学术交流能力；具有从事科学研究工作或者承担专业工作的能力；能够在科学研究或者专业领域取得先进性成果。

（四）博士研究生应在本学科或者专业领域掌握坚实宽广的基础理论和系统深入的专门知识；掌握本学科或者专业领域的现代实验方法、工具和技能；熟练掌握至少一门外国语言，并

具有良好的国际学术交流能力；具有独立从事科学研究工作或者独立承担专业工作的能力；能够在科学研究或专业领域取得创新性成果。

### 第三章 培养方式及修业年限

**第四条** 哈尔滨工业大学实行学术学位研究生和专业学位研究生分类培养，培养过程采取课程学习、专业（社会）实践和论文研究工作相结合的方式进行。

**第五条** 学术学位研究生以学术创新能力培养为目标，以科教融汇培养模式为主，着重培养研究生的学术探索精神、创新意识和科学研究能力。

学术学位硕士研究生应在本学科领域掌握坚实的基础理论，具备从事科学研究工作的能力，在科学研究方面取得先进性成果。

学术学位博士研究生应在本学科领域掌握坚实宽广的基础理论，具备独立从事科学研究工作的能力，在科学研究方面取得创新性成果。

**第六条** 专业学位研究生以实践创新能力培养为目标，以产教融合培养模式为主，面向行业产业发展需要，着重培养研究生知识技术的实际应用能力、创新意识和职业素养。

专业学位硕士研究生应在本门专业领域掌握系统的专门知识，具备承担专业工作的能力，在专业领域取得先进性成果。

专业学位博士研究生应在本门专业领域掌握系统深入的专门知识，具备独立进行技术创新、成果转化和应用的能力，在专业领域取得创新性成果。

**第七条** 研究生指导教师（以下简称导师）是研究生培养的第一责任人，应当为人师表，履行立德树人职责，关心爱护学生，指导研究生开展研究和实践、遵守学术规范，提高研究生的学术或者专业能力。研究生应在导师指导下按照学科（专业）培养方案的要求和因材施教的原则，制订培养计划。对从事交叉学科课题研究的研究生，应邀请相关学科和行业的导师参与指导工作。

**第八条** 研究生基本修业年限：硕士生为 2-3 年（各学科专业硕士研究生基本修业年限在当年招生章程中公布）；博士生为 4 年；硕博连读、直博生为 5 年。

**第九条** 博士研究生（含硕博连读生和直博生）在最长修业年限内，如无法继续完成博士学业者，经所在学科综合考核后符合硕士研究生培养条件的，可按《哈尔滨工业大学研究生学籍管理规定》转为硕士研究生培养。

### 第四章 培养方案及培养计划

**第十条** 培养方案是各学院、学部、校区进行研究生培养和学位授予工作以及研究生制定培养计划的主要依据。

**第十一条** 各学院、学部、校区根据学校关于研究生培养的基本要求和各学科专业学位基本要求制定培养方案。

培养方案应对研究生的培养目标、学位基本要求、修业年限、培养方向、课程（环节）学习与学分要求、学位论文工作的有关要求及时间安排等做出明确的规定。

培养方案应能满足因材施教的目标，注重发挥研究生的个人才能和特长，突出对研究生创新能力和综合素质的培养，并为制订研究生个人培养计划留有足够的自主空间，使研究生的培养在满足培养方案基本要求的同时，可根据个人的实际情况，对课程选择、科研实践及学位论文选题等进行自主安排。

研究生培养方案应由相应学院、学部、校区教学委员会讨论通过，报学校审核后，由研究生院备案。

**第十二条** 培养计划是研究生在导师指导下，根据本学科的培养方案，结合自身特点和兴趣制定的课程（环节）学习、学位论文研究及能力训练计划。培养计划是研究生课程学习、科学研究和专业工作的依据，也是研究生毕业及学位授予审查的主要依据。

## 第五章 课程学习及培养环节要求

**第十三条** 课程学习是保障研究生培养质量的必备环节，在研究生成长成才中具有全面、综合和基础性作用，一般应在学校或研究生校企联合培养基地进行。课程教学可以采用课堂讲授、项目研讨、实地考察、科研实践等多种方式进行。

**第十四条** 硕士研究生通过课程学习，应掌握马克思主义基本理论，坚实的学科基础理论和系统的专门知识，比较熟练地阅读本学科的外文资料。硕士研究生应修总学分不少于 24 学分，硕士研究生课程主要包括思想政治理论课、外语课程、专业课、学术规范与论文写作课和体育课。

**第十五条** 博士研究生通过课程学习，应掌握马克思主义基本理论，坚实宽广的学科基础理论和系统深入的专门知识，熟练地阅读本学科的外文资料，并具有较强的写作能力。博士研究生应修总学分不少于 12 学分，博士研究生课程主要包括思想政治理论课、外语课程和专业课。硕博连读、直博生应修总学分不少于 30 学分。

**第十六条** 全部课程学习应在申请学位前完成。对研究生课程学习的基本要求见《哈尔滨工业大学研究生课程学习及成绩记载管理办法》。

**第十七条** 鼓励研究生导师根据研究生培养需要，自主安排研究生到企业开展联合培养，实行“工学交替”的培养模式。校企联合培养研究生的具体要求见《哈尔滨工业大学研究生校企联合培养管理规定》。

## 第六章 学位论文及答辩有关要求

**第十八条** 学位论文工作的主要目的是培养研究生独立思考、勇于创新的精神和从事科学研究或承担专业工作的能力，使研究生的综合业务素质在系统的科学研究、工程及社会实践中得到全面提高。研究生应在导师指导下独立完成学位论文工作。学位论文工作一般在学

校进行，也可根据实际情况在研究机构或企业进行。

**第十九条** 学位论文的选题应面向世界科技竞争最前沿、面向经济社会发展主战场、面向人民群众新需求、面向国家治理大战略，具有理论意义或应用价值。确定学位论文工作的内容和工作量时应全面考虑研究生的类型、知识结构、工作能力、学位基本要求和培养年限等因素。

**第二十条** 研究生在攻读学位期间完成的相关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。硕士生在攻读学位期间取得的成果要求见《哈尔滨工业大学硕士研究生在攻读学位期间取得成果要求规定》。博士生创新性成果的基本要求见《哈尔滨工业大学关于博士研究生在攻读学位期间取得创新性成果的要求》。

**第二十一条** 研究生学位论文是授予学位的基本依据，是研究生科学研究、工程及社会实践工作的全面总结，应能够体现其研究成果、反映其研究水平。学位论文撰写是研究生培养过程的基本训练之一，必须按照规范认真执行，具体要求见《哈尔滨工业大学研究生学位论文写作指南》。

专业学位论文强化应用导向。硕士专业学位论文可以调研报告、规划设计、产品开发、案例分析、项目管理、艺术作品等为主要内容，以论文形式呈现。博士专业学位论文应表明研究生独立担负专门技术工作的能力，并在专门技术上做出应用创新性的成果。

**第二十二条** 学术学位和专业学位研究生学位论文过程管理及学位论文答辩应分类进行。研究生攻读学位期间应按规定完成由学院、学部统一组织的综合考评、学位论文开题和中期检查等必修环节考核。研究生未按规定时间完成相应考核或未通过考核，成绩记为“不合格”，两次不合格予以退学。对学位论文过程管理的基本要求见《哈尔滨工业大学研究生学位论文过程管理办法》。

学位论文答辩是对研究生科学研究工作和学位论文水平的全面考核，是申请和授予学位的重要程序。研究生完成培养计划规定的学分和学位论文，并满足学科专业规定的成果要求后，方可申请学位论文答辩。

硕士学位论文答辩应按照《哈尔滨工业大学硕士研究生申请学位工作细则》进行。

博士学位论文预答辩及答辩应按照《哈尔滨工业大学博士研究生学位论文答辩及学位审查工作细则》进行。

## 第七章 附 则

**第二十三条** 各学院、学部、校区应根据本规定，结合学科专业实际情况，制定研究生培养要求，做好硕士、博士研究生培养管理工作。

**第二十四条** 本规定由研究生院负责解释。

**第二十五条** 本规定自发布之日起施行。

# Regulations on Graduate Education at Harbin Institute of Technology

No. 170 [2023], HIT Graduate School

(Reviewed and approved at the 105th meeting of the Standing Committee of the 13th CPC HIT Committee on August 20, 2023; issued by Harbin Institute of Technology on August 25, 2023)

## Chapter I General Provisions

**Article 1** These Regulations are established to regulate the management of graduate education at Harbin Institute of Technology (HIT) and to improve graduate training. They are formulated in accordance with the “Regulations on Academic Degrees of the People’s Republic of China”, “Interim Measures for Implementation of the Regulations on Academic Degrees of the People’s Republic of China”, “Opinions of the Ministry of Education, National Development and Reform Commission, and Ministry of Finance on Accelerating the Reform and Development of Graduate Education in the New Era”, “Development Plan for Professional-Degree Graduate Education (2020–2025)”, and “Statute of Harbin Institute of Technology”, and other relevant guidelines, while taking into account the specific context of the university.

**Article 2** These Regulations apply to all areas of master's and doctoral education at HIT. They shall also serve as a reference for the education of graduate students from Hong Kong, Macao, Taiwan, as well as international graduate students.

## Chapter II Graduate Education Goals

**Article 3** Guided by Xi Jinping Thought on Socialism with Chinese Characteristics for a New Era and fully aligned with the Party’s educational policies, the goals of graduate education at Harbin Institute of Technology reflect the guidelines of General Secretary Xi Jinping’s congratulatory letter on the university’s 100th anniversary. Committed to a path of quality-centered, sustainable development that emphasizes internal strengths, the university focuses on cultivating moral integrity, serving societal needs, enhancing educational and research quality, and pursuing academic excellence. We aim to nurture outstanding talent for the new era—individuals who are firm in their values, morally grounded, professionally skilled, globally aware, and capable of leading future development. Rooted in the frontiers of global science and technology, key economic sectors, major national needs, and the well-being of society, the university remains dedicated to cultivating talent for the Party and the country while continuously improving the quality of independent talent development.

Requirements for graduate students:

- (I) Grasp the fundamental principles of dialectical and historical materialism, and develop a scientific worldview and methodology. Embrace the university’s motto, “Accuracy & Proficiency”, and uphold the spirit of Harbin Institute of Technology.
- (II) Adhere to laws and regulations, uphold honesty, fairness, and moral integrity, and develop a sense of social responsibility. Embrace a rigorous academic ethos, demonstrate global awareness,

and exhibit strong communication and interdisciplinary collaboration skills. Cultivate independent learning habits and the ability to continuously grow through lifelong learning, with adaptability and resilience.

(III) Master's students are expected to meet the evolving demands of science and society. They should:

- Have a solid theoretical foundation and systematic understanding of the knowledge in their field;
- Be proficient in modern experimental techniques, tools, and relevant skills in their field;
- Be proficient in at least one foreign language and be capable of engaging in international academic communication;
- Be able to conduct research or undertake relevant professional responsibilities;
- Be able to make meaningful contributions to their research or professional field.

(IV) Doctoral students are expected to:

- Have a solid and comprehensive theoretical foundation and a deep, systematic understanding of the knowledge in their field;
- Be proficient in modern experimental techniques, tools, and relevant skills in their field;
- Be highly proficient in at least one foreign language and capable of engaging in effective international academic communication;
- Be able to conduct research or undertake relevant professional responsibilities independently;
- Be able to make original and innovative contributions to their research or professional field.
- 

### **Chapter III Training Methods and Duration of Study**

**Article 4** HIT adopts differentiated training models for academic and professional degree graduate students. The training process integrates course learning, professional/social practice, and thesis/dissertation research.

**Article 5** Academic degree programs aim to cultivate graduates' abilities in research innovation through an integrated approach that combines scientific research with education, emphasizing the development of academic inquiry, innovative thinking, and research skills.

Master's students in academic degree programs are expected to build a solid foundation in their discipline, demonstrate proficiency in conducting scientific research, and contribute meaningfully to their field.

Doctoral students in academic degree programs are expected to build a solid and comprehensive foundation in their discipline, demonstrate proficiency in conducting independent scientific research independently, and make original and innovative contributions to their field.

**Article 6** Professional degree programs aim to cultivate graduates' abilities in practical innovation through an integrated approach that combines industry and education. Aligned with the needs of industrial development, these programs emphasize the application of knowledge and technology, innovative problem-solving, and the development of professional expertise.

Master's students in professional degree programs are expected to have a systematic understanding of the knowledge in their field, demonstrate the ability to undertake professional roles, and contribute meaningfully to their field.

Doctoral students in professional degree programs are expected to have a deep, systematic understanding of the knowledge in their field, demonstrate the capacity for independent technological innovation, effectively apply and translate research outcomes into practice, and make original, innovative contributions to their field.

**Article 7** Graduate supervisors (hereinafter referred to as “supervisors”) bear primary responsibility for the training and development of graduate students. They are expected to lead by example, uphold the dual mission of cultivating both moral integrity and academic excellence, provide attentive support, guide students in both research and practice, promote adherence to academic rules, and assist students in enhancing their research or professional competencies. Under the supervision of their supervisors, graduate students shall develop individualized training plans that align with the requirements of their program. For students engaged in interdisciplinary research, supervisors from relevant disciplines or industries should be invited to participate jointly in the guidance process.

**Article 8** The standard duration of study for graduate students is as follows:

- Master's students: 2-3 years (the specific duration for each program is detailed in the annual admissions brochure).
- Doctoral students: 4 years.
- Combined master's-doctoral and direct-entry doctoral students: 5 years.

**Article 9** Doctoral students (including those in combined master's-doctoral and direct-entry doctoral programs) who are unable to complete their doctoral studies within the maximum period of study may, upon comprehensive evaluation by their discipline and provided they meet the requirements for master's-level training, be transferred to a master's program in accordance with the “Regulations for Management of Graduate Student Status of Harbin Institute of Technology” .

## **Chapter IV Training Programs and Personal Training Plans**

**Article 10** A training program serves as the fundamental basis for graduate education, degree granting, and the development of personal training plans.

**Article 11** All HIT schools and campuses shall develop their graduate training programs based on the university's overarching requirements for graduate education and the specific needs of each academic or professional degree programs.

The training programs must clearly define the training objectives, degree requirements, duration of study, research directions, course (or module) and credit requirements, thesis/dissertation-related expectations, and timeline arrangements.

The programs should promote individualized instruction, support the development of students'

strengths and potential, and emphasize the cultivation of innovation and comprehensive competence. They must also offer sufficient flexibility to enable students to create personal training plans—allowing tailored arrangements for course selection, research activities, and thesis/dissertation topic selection, provided the program’s basic requirements are fulfilled.

All graduate training programs must be reviewed and approved by the teaching committee of the respective school or campus, submitted for university review, and filed with the Graduate School.

**Article 12** Graduate students, under the guidance of their supervisors, shall develop a personal training plan based on their discipline’s training program and tailored to their own characteristics and interests. This plan includes course (or module) learning, thesis/dissertation research, and skills development. The personal training plan serves as the foundation for the student’s course learning, scientific research, and professional activities, and is a key reference for graduation and degree granting evaluations.

## **Chapter V Course Learning and Training Requirements**

**Article 13** Course learning is a fundamental component of graduate education, playing a comprehensive and vital role in the growth and development of graduate students. Typically, course learning should be completed at the university or at graduate training bases jointly established with industry partners. Course instruction may be delivered through a variety of methods, including lectures, workshops, field visits, and research practice.

**Article 14** Through course learning, master’s students are expected to gain a solid grounding in Marxist theory and develop a systematic understanding of the foundational theories and knowledge within their field of study. They should also acquire proficiency in reading foreign-language materials relevant to their discipline. To fulfill degree requirements, master’s students must complete a minimum of 24 credits. The curriculum typically includes courses in political theory, foreign languages, professional courses, academic rules and thesis writing, as well as physical education.

**Article 15** Through course learning, doctoral students are expected to gain a solid and comprehensive grounding in Marxist theory and develop a deep, systematic understanding of the foundational theories and knowledge within their field of study. They should also acquire high proficiency in reading foreign-language materials relevant to their discipline and demonstrate strong academic writing skills. To fulfill degree requirements, doctoral students must complete a minimum of 12 credits. The curriculum typically includes courses in political theory, foreign languages, and professional courses. Students in combined master’s-doctoral and direct-entry doctoral programs must complete at least 30 credits.

**Article 16** All courses must be completed prior to applying for degree granting. The basic requirements for graduate course learning are outlined in the “Measures for Management of Graduate Course Learning and Grade Recording of Harbin Institute of Technology”.

**Article 17** Graduate supervisors are encouraged to arrange enterprise-based joint training for their



students according to academic and professional development needs, adopting a “work-study alternation” model. Specific requirements for university–industry joint training are detailed in the “Regulations on University–Enterprise Joint Training for Graduate Students of Harbin Institute of Technology”.

## **Chapter VI Requirements for Theses/Dissertations and Defenses**

**Article 18** The primary objective of thesis and dissertation work is to cultivate graduate students’ ability for independent thinking, innovation, and engagement in scientific research or professional practice, thereby enhancing their overall professional competence through systematic research, engineering, and social practice. Graduate students must complete their thesis or dissertation independently under the guidance of their supervisors. Thesis and dissertation research is generally conducted at the university but may also take place at research institutions or enterprises when appropriate.

**Article 19** Thesis/dissertation topics should focus on the forefront of global scientific and technological advancements, major areas of economic and social development, emerging societal needs, and national governance strategies, ensuring both theoretical significance and practical application value. In determining the content and workload of the thesis/dissertation, factors such as the student’s program type, knowledge background, abilities, degree requirements, and program duration should be comprehensively considered.

**Article 20** The quantity and quality of research achievements completed by graduate students during their degree studies are key indicators of the quality of graduate education and degree granting. The requirements for master’s students’ research achievements are detailed in the “Requirements for Master’s Students to Attain Achievements During Their Studies at Harbin Institute of Technology” . And the basic requirements for innovative achievements expected of doctoral students are outlined in the “Requirements for Doctoral Students to Attain Innovative Achievements During Their Studies at Harbin Institute of Technology” .

**Article 21** The graduate thesis or dissertation is the core basis for degree granting and a comprehensive reflection of a student’s research, engineering work, or social practice. It must demonstrate the student’s research accomplishments and competence. Thesis/dissertation writing is a critical component of graduate education and must strictly adhere to academic rules. Detailed guidelines are provided in the “Graduate Thesis/Dissertation Writing Guide of Harbin Institute of Technology”.

For professional degrees, the thesis/dissertation should emphasize real-world application. A professional master’s degree thesis may be grounded in practical work, such as a research report, planning or design project, product development, case analysis, project management, artistic creation, or other equivalent endeavors. The final submission must be compiled and presented in a formal written thesis format. A professional doctoral degree dissertation should demonstrate the candidate’s capacity to independently undertake specialized technical tasks and highlight innovative, application-focused achievements within their field of expertise.

**Article 22** The management of thesis/dissertation work and the thesis/dissertation defense process for academic and professional degree graduate students shall be conducted separately in accordance with their respective program requirements. During their studies, graduate students must complete mandatory evaluations organized by their school, including comprehensive assessments, thesis/dissertation proposal reviews, and mid-term evaluations. Failure to complete or pass these evaluations on schedule will result in a grade “fail”. Students who fail twice will be dismissed. The basic requirements for management of the thesis process are outlined in the “Regulations on Graduate Thesis/Dissertation Process Management of Harbin Institute of Technology”.

The thesis/dissertation defense is a comprehensive evaluation of a graduate student’s research achievements and thesis/dissertation quality, and it is a critical component in the degree application and granting process. Students may apply for defense only after fulfilling the credit and thesis/dissertation requirements specified in their personal training plan, and meeting the research outcome standards of their program.

Master’s thesis defenses shall be conducted in accordance with the “Rules for Master’s Degree Applications at Harbin Institute of Technology”.

Doctoral dissertation pre-defenses and final defenses shall follow the “Rules for Doctoral Dissertation Defense and Degree Evaluation at Harbin Institute of Technology”.

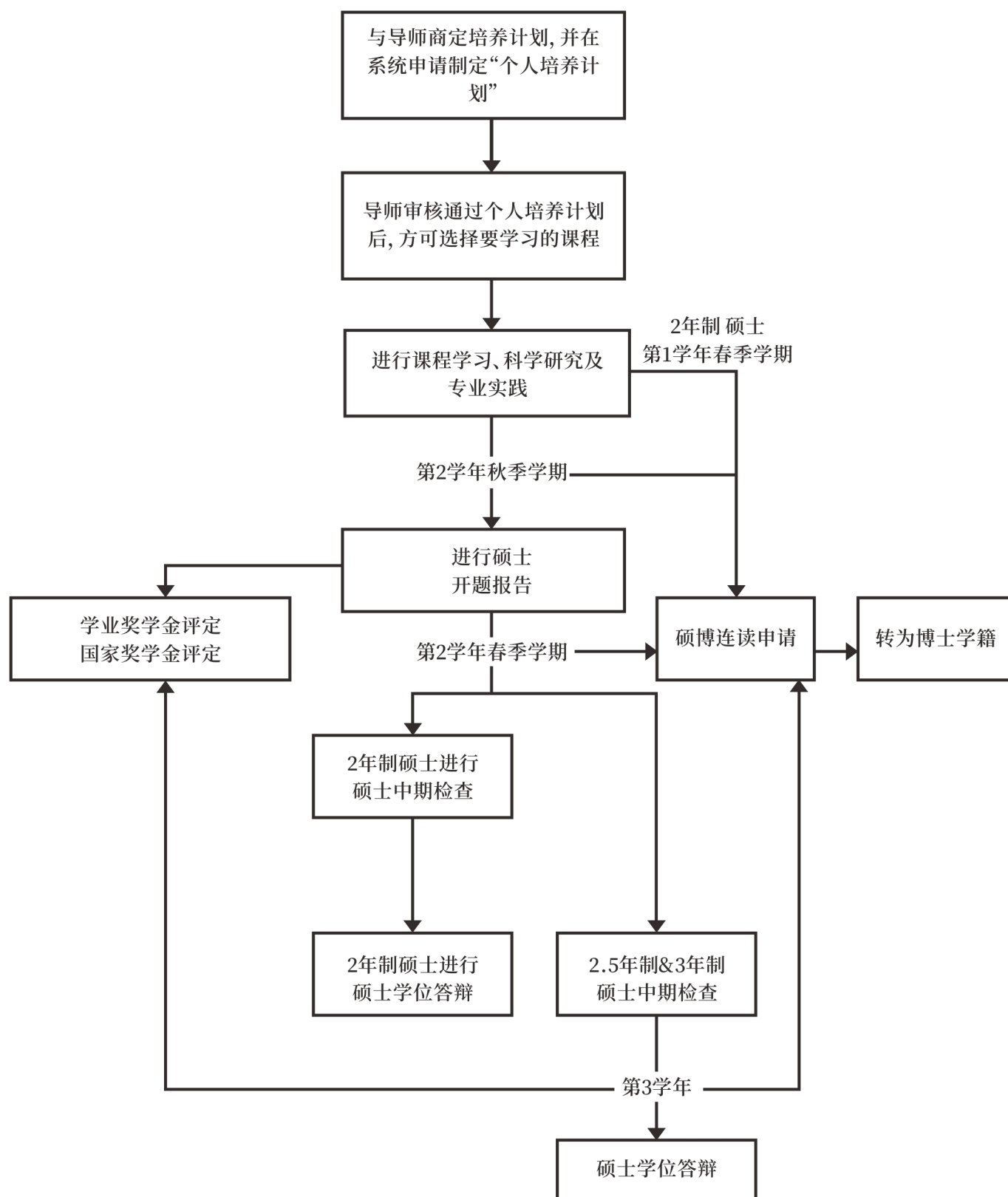
## **Chapter VI   Supplementary Provisions**

**Article 23** Each school or campus shall develop detailed graduate education requirements tailored to their disciplines and programs, in accordance with these Regulations. They are responsible for training management of their master’s and doctoral students.

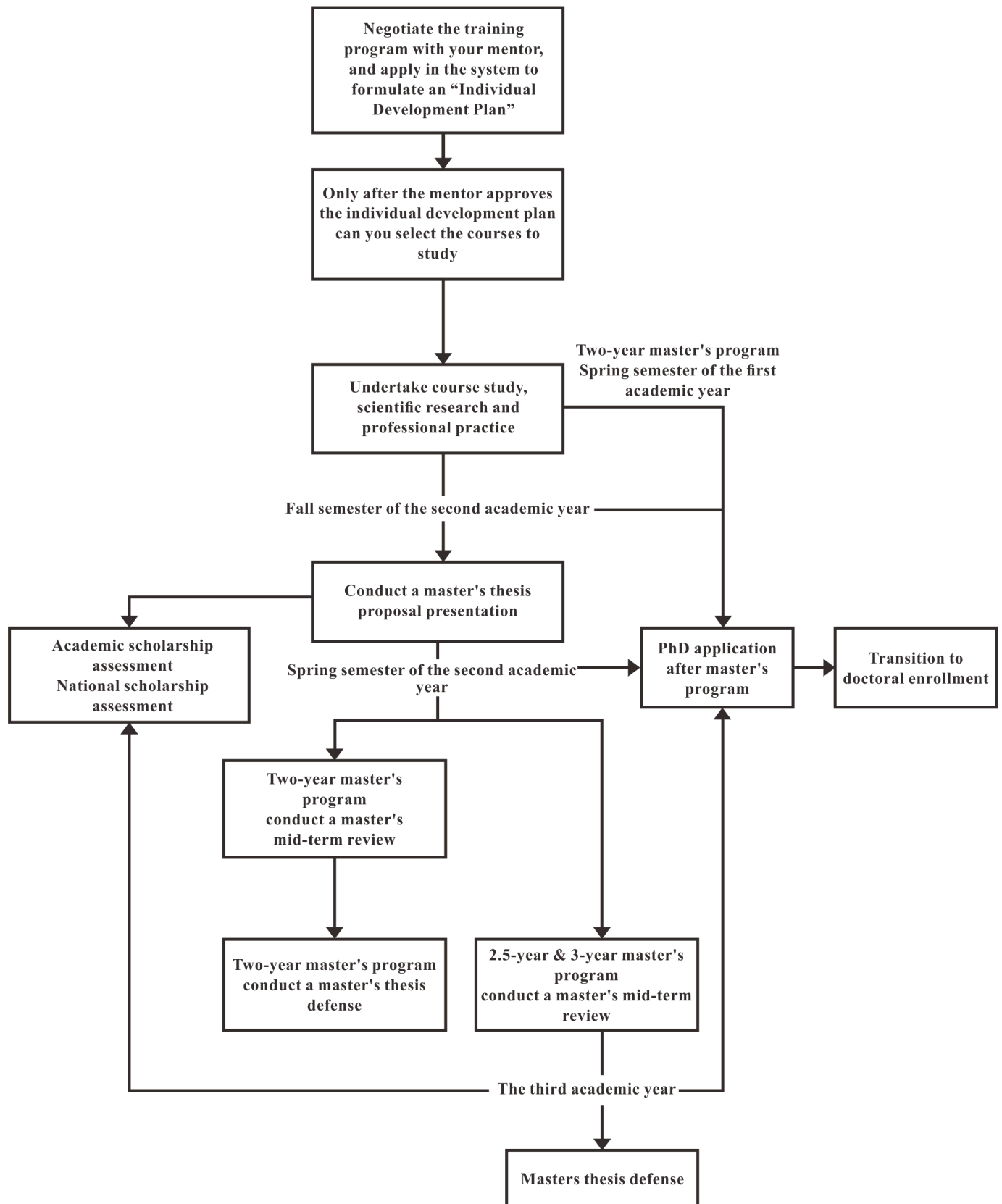
**Article 24** The Graduate School is responsible for interpreting these Regulations.

**Article 25** These Regulations shall be effective as of the date of issuance.

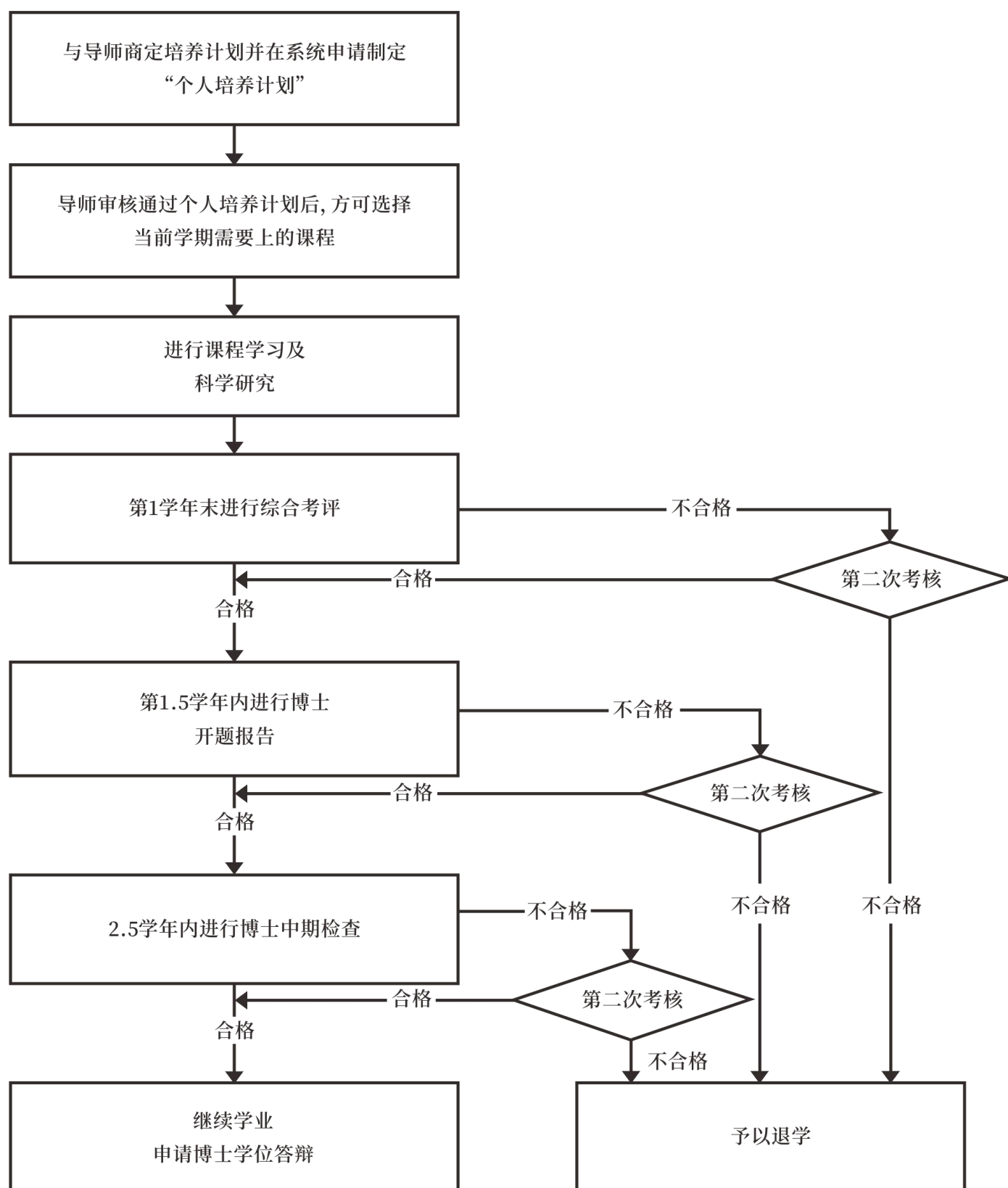
## 硕士研究生培养环节流程图



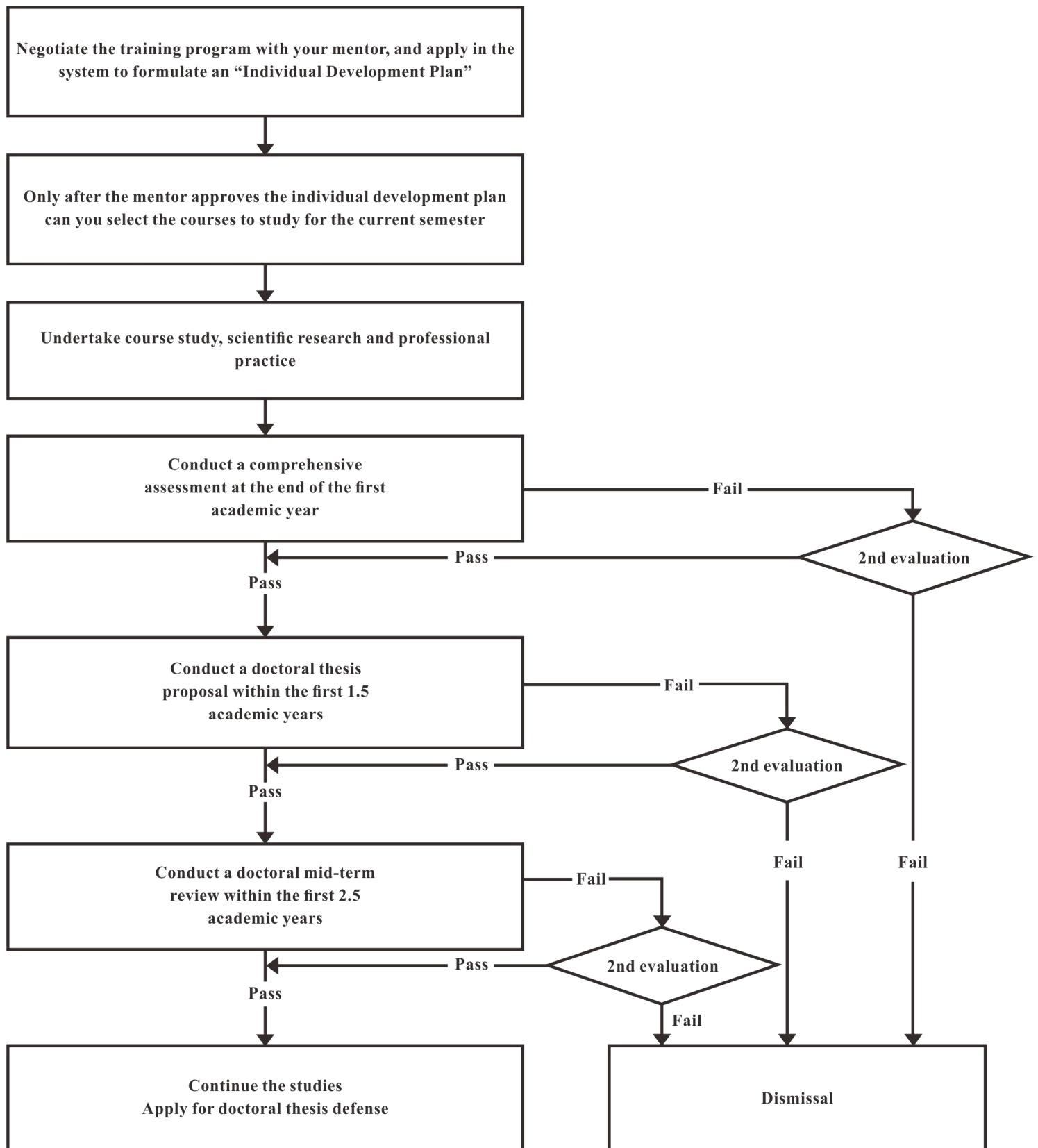
## Master's Student Training Process Flowchart



## 博士研究生培养环节流程图



## Doctoral Student Training Process Flowchart



# 哈尔滨工业大学（深圳）国际研究生汉语课程免修办法

深教〔2025〕7号

**第一条** 为真正落实“以学生为中心，学生在学习与发展成效驱动”的教育理念，对于汉语水平已达较高水平、能够熟练使用生活用语和阅读本专业汉语资料能力的国际研究生，允许其申请免修汉语口语课程。

**第二条** 以英文为专业教学语言的国际研究生，凡符合以下条件之一者，可申请《初级汉语口语 I》和《初级汉语口语 II》课程免修，审核通过后可直接获得学分，课程成绩记为“免修”，不参与学位课筛选成绩和平均学分绩点计算。具体申请条件如下：

1. HSK3 级及以上；
2. 在国内其他高校获得本科/硕士/博士毕业证书；
3. 本科或硕士阶段获汉语专业学位或毕业证书。

**第三条** 本办法自发布之日起施行。

# **Guidelines on Exemption from Chinese Language Courses for International Graduate Students at Harbin Institute of Technology, Shenzhen**

HITSZ Education Bureau Document No. 7 (2025)

**Article 1** To align with our commitment to “student-centered education that fosters individual growth and success”, for international graduate students with strong proficiency in Chinese and the ability to converse fluently and read discipline-specific materials in Chinese, s/he can apply for exemption from Chinese courses.

**Article 2** International graduate students whose primary language of instruction is English may apply for an exemption from “Elementary Spoken Chinese I” and “Elementary Spoken Chinese II” if they meet one of the following criteria. Upon approval, students will receive credits for the courses without the need to attend classes, and the grades will be marked as “Exempt”. These courses will not be factored into their GPA calculation. The specific application requirements are as follows:

1. HSK Level 3 or above;
2. Completion of a bachelor's, master's, or doctoral degree from another institution in China;
3. Chinese major certificate or diploma, Bachelor or Master Degree.

**Article 3** These Guidelines shall come into effect from the date of publication.



# 深圳校区教务部关于研究生课程学习与课程成绩记载的 工作提示

校区各学院、研究院、直属单位:

根据学校研究生院出台的《哈尔滨工业大学研究生课程学习与成绩记载管理办法》(研院发[2023] 36 号)(详见附件),现就校区研究生课程考核及成绩记载有关事项通知如下:

一、办法第五章第二十条规定:“学位课程必须进行考试,成绩按百分制评定”,第二十一条规定:“选修课可进行考查,成绩可以按百分制评定,也可以按二级分制评定”,百分制成绩与等级对应关系按第二十三条执行。

二、参与 GPA 计算的课程范围按第二十四条执行。

三、自 2023 级研究生起,校区研究生第一外国语的免修办法由各开课学院制定,交由教务部审核备案后执行。

附件:哈尔滨工业大学研究生课程学习与成绩记载管理办法

教务部

2023 年 10 月 3 日

## **Notice from HITSZ Department of Academic Affairs on Graduate Course Assessment and Grade Recording**

October 13, 2023

All HITSZ departments,

In accordance with the Measures for the Management of Graduate Course Study and Grade Recording at Harbin Institute of Technology ([2023], Graduate School) (see attached document for details), please note the following guidelines regarding the assessment and grade recording of graduate courses:

1. According to Article 20 of Chapter V:

“For degree-required courses, students will be assessed through exams and their grades are based on a 100-point scale.”

Per Article 21:

“For elective courses, students may be assessed through evaluations. Grades can be assigned on a 100-point scale or a Pass/Fail basis.”

For conversion from the 100-point scale to letter grades, refer to Article 23.

2. Courses counted toward GPA must follow Article 24.

3. Starting with the 2023 graduate cohort, any exemption policies for the first foreign language courses in HITSZ must be:

Formulated by the relevant schools, and

Submitted to the Department of Academic Affairs for review and filing prior to implementation.

Attachment: “Measures for Management of Graduate Course Study and Grade Recording of Harbin Institute of Technology”

Department of Academic Affairs

# 深圳校区国际研究生修读学分要求

校区各学部、学院及相关单位：

根据学校研究生院出台的《哈尔滨工业大学研究生课程学习及成绩记载管理办法》（研院发[2023] 36 号），现就深圳校区国际研究生修读学分要求补充说明如下：

## 一、国际硕士研究生修读学分要求

### （一）英文课程体系国际硕士研究生修读学分要求

攻读学位期间，所修总学分不少于 25 学分。其中学位课不少于 15 学分（含公共学位课 6 学分，学科核心课 9 学分），选修课不少于 5-8 学分，必修环节 2-5 学分。具体学分分配如下：

表 1 英文课程体系国际硕士研究生学分要求

课程类别	课程	学术学位学分要求	专业学位学分要求
学位课	中国文化	2	
	初级汉语口语 I	2	
	初级汉语口语 II	2	
	学科核心课 (含数理基础课)	≥9	
选修课	学科或跨学科选修课	≥8	≥5，其中， 工程管理类课≥2
必修环节	学位论文开题	1	
	学位论文中期	1	
	专业实践	-	3
总学分		≥25	

### （二）中文课程体系国际硕士研究生修读学分要求

攻读学位期间，所修总学分不少于 24 学分。其中学位课不少于 11 学分（含公共学位课 2 学分，学科核心课 9 学分），选修课不少于 5-8 学分，必修环节 2-5 学分。具体学分分配如下：

表 2 中文课程体系国际硕士研究生学分要求

课程类别	课程	学术学位学分要求	专业学位学分要求
学位课	学术英语	2	
	学科核心课 (含数理基础课)	≥9	
选修课	学科或跨学科选修课	≥8	≥5，其中， 工程管理类课程≥2

表2 中文课程体系国际硕士研究生学分要求（续）

课程类别	课程	学术学位学分要求	专业学位学分要求
必修环节	学位论文开题	1	
	学位论文中期	1	
	专业实践	-	3
总学分		≥24	

## 二、国际博士研究生修读学分要求

### （一）英文课程体系国际博士研究生修读学分要求

攻读学位期间，所修总学分不少于 14 学分。其中学位课不少于 8 学分（含公共学位课 4 学分，学科核心课 4 学分），选修课不少于 2 学分，必修环节 4 学分。

### （二）中文课程体系国际博士研究生修读学分要求

攻读学位期间，所修总学分不少于 12 学分。其中学科核心课不少于 4 学分，选修课不少于 2 学分，必修环节 4 学分。

具体学分分配如下：

表3 国际博士研究生学分要求

课程类别	课程	英文课程体系国际 博士生学分要求	中文课程体系国际 博士生学分要求
学位课	初级汉语口语I	2	-
	初级汉语口语II	2	
	学科核心课	学科核心课≥4	
选修课	学科或跨学科选修课	选修课≥2	
必修 环节	学术活动	1	
	综合考评	1	
	学位论文开题	1	
	学位论文中期	1	
总学分		≥14	≥12

附件:哈尔滨工业大学研究生课程学习及成绩记载管理办法

哈尔滨工业大学（深圳）教务部

2025 年 6 月 18 日

# Credit Requirements for International Graduate Students at HITSZ

June 18, 2025

All HITSZ departments,

In accordance with the “Measures for Management of Graduate Course Study and Grade Recording at Harbin Institute of Technology” (No.36 [2023], Graduate School) (see attachment for details), please note the following credit requirements for international graduate students at HITSZ:

## I. Credit Requirements for International Master’s Students

(I) Credit requirements for international master’s students in English-taught programs

International master’s students enrolled in English-taught programs are required to complete a minimum of 25 credits over the duration of their studies. This total must include:

- Degree-required courses: Minimum 15 credits (6 from common courses and 9 from core courses);
- Elective courses: 5–8 credits;
- Compulsory modules: 2–5 credits.

The credit requirements are detailed in the table below:

Table 1 English-Taught Programs Credit Requirements

Category	Course	Credits required for academic degrees	Credits required for professional degrees
Degree-required	Chinese Culture	2	
	Elementary Spoken Chinese I	2	
	Elementary Spoken Chinese II	2	
	Core Courses (including mathematical foundations)	≥9	
Elective	Major-specific or Cross-disciplinary Courses	≥8	≥5, including ≥2 credits from Engineering Management Courses
Compulsory Modules	Thesis Proposal	1	
	Mid-term Thesis Report	1	
	Professional Practice	-	3
Total Credits		≥25	

(II) Credit requirements for international master’s students in Chinese-taught programs

International master’s students enrolled in Chinese-taught programs are required to complete a minimum of 24 credits over the duration of their studies. This total must include:

- Degree-required courses: Minimum 11 credits (2 from common courses and 9 from core courses);
- Elective courses: 5–8 credits;
- Compulsory modules: 2–5 credits.

The credit requirements are detailed in the table below:

Table 2 Chinese-Taught Programs Credit Requirements

Category	Course	Credits required for academic degrees	Credits required for professional degrees
Degree-required	Academic English	2	
	Core Courses (including mathematical foundations)	$\geq 9$	
Elective	Major-specific or Cross-disciplinary Courses	$\geq 8$	$\geq 5$ , including $\geq 2$ credits from Engineering Management Courses
Compulsory Modules	Thesis Proposal	1	
	Mid-term Thesis Report	1	
	Professional Practice	-	3
Total Credits		$\geq 24$	

## II. Credit Requirements for International Doctoral Students

### (I) Credit requirements for international doctoral students in English-taught programs

International doctoral students enrolled in English-taught programs are required to complete a minimum of 14 credits over the duration of their studies. This total must include:

- Degree-required courses: Minimum 8 credits (4 from common courses and 4 from core courses);
- Elective courses: 2 credits;
- Compulsory modules: 4 credits.

### (II) Credit requirements for international doctoral students in Chinese-taught programs

International doctoral students enrolled in Chinese-taught programs are required to complete a minimum of 12 credits over the duration of their studies. This total must include:

- Core courses: Minimum 4 credits;
- Elective courses: Minimum 2 credits;
- Compulsory modules: 4 credits.

The credit requirements are detailed in the table below:

Table 3 Credit Requirements for International Doctoral Students

Category	Course	English-Taught Programs	Chinese-Taught Programs
Degree-required	Elementary Spoken Chinese I	2	-
	Elementary Spoken Chinese II	2	
	Core Courses		Core Courses $\geq 4$
Elective	Major-specific or Cross-disciplinary Courses	Elective courses $\geq 2$	
Compulsory Modules	Academic Activities	1	
	Comprehensive Evaluation	1	
	Dissertation Proposal	1	
	Mid-term Dissertation Report	1	
Total Credits		$\geq 14$	$\geq 12$

Department of Academic Affairs, Harbin Institute of Technology, Shenzhen

# 哈尔滨工业大学研究生课程学习及成绩记载管理办法

研院发〔2023〕36号

## 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《普通高等学校学生管理规定》（2017年2月4日教育部第41号令）和《哈尔滨工业大学研究生学籍管理规定》，结合我校研究生教育实际，制定本办法。

## 第二章 课程（环节）要求

**第二条** 硕士研究生应修总学分不少于24学分，其中学位课不少于14学分，选修课5-8学分，必修环节2-5学分。专业学位硕士研究生在攻读硕士学位期间应修总学分应满足相应的全国专业学位研究生教育指导委员会的相关要求。国家及学校人才培养专项按专项要求执行。具体学分分配如下：

表1 硕士研究生应修学分要求

课程类别	课程	学术学位学分要求	专业学位学分要求
学位课	新时代中国特色社会主义理论与实践	2	
	自然辩证法概论	1	
	第一外国语	2	
	学科核心课（含数理基础课）	≥9	
选修课	学科或跨学科选修课	≥8	≥5
必修环节	学位论文开题	1	
	学位论文中期	1	
	专业实践	-	3
总学分		≥24	

**第三条** 博士研究生应修总学分不少于12学分，必修环节4学分。具体学分分配如下：

表2 博士研究生应修学分要求

课程类别	课程	学术学位学分要求	专业学位学分要求
学位课	中国马克思主义与当代	2	
	学科核心课	学科核心课≥4，选修课不限	学科核心课≥2，选修课不限
选修课	学科或跨学科选修课		
	工程管理类课程	-	2（必修）
必修环节	学术活动	1	
	综合考评	1	
	学位论文开题	1	
	学位论文中期	1	
总学分		≥12	



**第四条** 硕博连读/直博生应修总学分 30 学分，其中学位课 19 学分，选修课 5-8 学分，必修环节 3-6 学分。具体学分分配如下：

表 3 硕博连读/直博生应修学分要求

课程类别	课程	学术学位学分要求	专业学位学分要求
学位课	新时代中国特色社会主义思想理论与实践	2	
	自然辩证法概论	1	
	中国马克思主义与当代	2	
	第一外国语	2	
	学科核心课	≥12 (其中博士层次核心课至少 1 门)	
选修课	学科或跨学科选修课	≥8	≥5
必修环节	专业实践	-	3
	学位论文开题	1	
	学位论文中期	1	
	学术活动	1	
总学分		≥30	

注：关于学分设置，学科专业根据自身的特点在满足学校要求的前提下制定了本学科专业特殊要求的，按学科专业要求执行。

**第五条** 思想政治理论课课程要求

“中国马克思主义与当代” 32 学时，2 学分，所有博士研究生必修。

“新时代中国特色社会主义思想理论与实践” 32 学时，2 学分，和“自然辩证法概论” 16 学时，1 学分。所有硕士研究生、硕博连读生和直博生必修。

“中国文化” 32 学时，2 学分，国际学生和港澳台学生必修。

**第六条** 第一外国语课程要求

第一外国语，32 学时，2 学分。开设英语、俄语、日语 3 个语种。符合《研究生第一外国语课程免修办法》相关规定可申请免修，成绩记为“免修”。第一外国语课程计学分但不计入奖学金评定。学生根据个人需要学习的其他外语课程不计学分。

**第七条** 学科核心课为支撑本学科（专业）知识体系和培养学生基本学术能力、实践创新能力的核心专业课程。研究生在导师指导下根据自身需要和兴趣在本学科（专业）培养方案中选择学习，满足学位课学分要求。

**第八条** 选修课一般结合学科主要研究方向或领域学术前沿设置。研究生在导师指导下根据自身需要和兴趣可跨学科（专业）选择研究生和本科生课程学习，满足选修课学分要求。

**第九条** 导师还可根据研究工作需要和研究生的学科基础指定补修课程。补修课程记成绩，不计学分。

**第十条** 学术活动，1 学分。博士研究生在攻读学位期间应参加国际（内）学术会议、学术报告和学术讲座等学术活动，一般应使用外文做一次口头报告。由学院、学部制定有关学

分获得办法。

**第十一条** 实践活动，专业学位博士研究生在攻读学位期间应结合课题及行业、企业需求参加工程技术研讨、工程项目组织与管理等实践活动。实践活动考核需提交实践总结报告，字数不少于 5000 字。

**第十二条** 专业实践，3 学分。专业学位硕士研究生在攻读学位期间应完成专业实践，由学院、学部制定相应要求和考核办法。

### 第三章 培养计划的制定及修改

**第十三条** 新生入学报到注册 1 周内须在导师指导下制定个人培养计划，并在研究生教育管理系统中进行培养计划申请，经导师审核通过后，在系统进行当前学期课程的选课。

**第十四条** 在执行计划过程中，根据本人学习和科研进展，个人培养计划可有条件调整。每学期开学初 2 周内研究生可自行在研究生教育管理系统进行培养计划修改申请，经导师审核同意后，可进行当前学期课程的选课及退课。逾期如遇特殊情况可向学院、学部申请办理。

### 第四章 课程学习

**第十五条** 研究生选课成功后，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）和考核，成绩合格方可取得学分。缺课课时累计达 1/3 及以上者，不能参加相应课程的考核，成绩按“0”分记载。

**第十六条** 研究生可以选修与我校相关学科（专业）学术声誉和学术水平相当的国内外高校、科研机构开设的研究生课程及开放式网络课程。须经导师同意，学院、学部主管领导批准，并报研究生院备案，所需经费由研究生本人承担。修课结束后，凭开课单位主管部门开具的成绩单原件，由研究生所属学院、学部认定成绩并核定学分，经学院、学部主管领导审核同意后可记入研究生成绩单。研究生选修校外课程一般不得超过培养方案要求的课程学分数的三分之一，课程成绩不计入竞争性奖助学金评定。

**第十七条** 研究生在学期间，可选修本科生课程。研究生选修本科生课程须在每学期开学初规定时间内在研究生教育综合管理系统中进行选课，逾期未选课的其成绩与学分不予承认。研究生选修的本科生课程，可记入研究生成绩单，跨一级学科学习的本科生课程可计为选修课学分，本学科本科生课程不计学分。

**第十八条** 经导师和学院、学部主管领导同意，研究生选修的我校研究生暑期学校课程，杰出人才培养计划课程，考核合格，可记入成绩单，计入选修课学分。

### 第五章 课程考核及成绩记载

**第十九条** 课程考核方式分“考试”和“考查”两种。

**第二十条** 学位课程必须进行考试，成绩按百分制评定，60 分及以上为合格，课程成绩评

定应注意过程评价。考试方法可采用笔试或口试，笔试须有试卷，口试须有详细记录，考试成绩等级分布要合理。

**第二十一条** 选修课可进行考查，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。

**第二十二条** 必修环节按各学科相应要求及考核办法执行，成绩一般以二级分制评定，记为“合格”或“不合格”。

**第二十三条** 考核成绩如实记入研究生成绩单。学位课成绩计入 GPA。成绩对应关系如下表：

百分制分数 Hundred-Mark	等级 Grade	课程绩点 GPA	说明
98≤分数≤100	A+	4.0	优秀
95≤分数< 98	A		
90≤分数< 95	A-	3.7	
85≤分数< 90	B+	3.3	良好
80≤分数< 85	B	3.0	
77≤分数< 80	B-	2.7	
73≤分数< 77	C+	2.3	中等
70≤分数< 73	C	2.0	
67≤分数< 70	C-	1.7	
63≤分数< 67	D+	1.3	合格
60≤分数< 63	D	1.0	
0≤分数< 60	Fail	0	不合格
考查课合格/Pass （60-100）	Pass		合格
考查课不合格/Fail （0-59）	Fail		不合格
课程免修/Exempt	Exempt		免修

**第二十四条** 所有有绩点的成绩参与平均学分绩点（GPA，Grade Point Average）计算。

平均学分绩点（GPA）=  $\sum$ （课程绩点×课程学分）/  $\sum$ 课程学分。

## 第六章 缓考

**第二十五条** 研究生因故不能参加课程考核者，应在考核前正式提出缓考申请，填写《研究生缓考申请表》，并提供有关证明，经任课教师同意，所在学院、学部负责人审核，报研究生院批准后生效。

**第二十六条** 获准缓考的研究生须参加该门课程下一次的考核，成绩如实记载。

**第二十七条** 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》处理。

## 第七章 重修与改修

**第二十八条** 研究生课程考核成绩不合格，允许其重修。研究生需在研究生教育综合管理系统中申请重修，并参加该门课程下一次的学习和考核。已完成课程学习的，可选择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。

**第二十九条** 重修课程考核合格后，在研究生成绩单中按实际成绩记载，成绩及绩点均标记“重修”，重修获得的成绩不参与学位课筛选成绩计算\*。

**第三十条** 考核不合格的课程可在导师指导下改修，最多可改修两门次。改修后的课程所获得的成绩不参与学位课筛选成绩计算。

**第三十一条** 研究生学位课经重修或改修后仍有两门次课程不合格者，予以退学。

**第三十二条** 课程成绩考核合格的不允许重修。

## 第八章 免修

**第三十三条** 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。

**第三十四条** 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。

**第三十五条** 第一外国语的免修参照《研究生第一外国语课程免修办法》执行。

## 第九章 考试纪律

**第三十六条** 未经批准不参加研究生课程考核者，按旷考处理，成绩按“0”分记入研究生成绩单。

**第三十七条** 研究生须自觉遵守《哈尔滨工业大学研究生考场纪律》，若有违纪或作弊行为，按照《哈尔滨工业大学学生考试纪律及考试违纪处分管理办法》处理。

## 第十章 成绩管理

**第三十八条** 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进行成绩查询。

**第三十九条** 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学院、学部提出成绩复核申请，并报研究生院审核备案。

**第四十条** 经研究生院批准，研究生入学之前在哈尔滨工业大学学习并取得学分的研究生

课程，符合当前培养方案要求的可申请成绩认定。由本人提出申请，经导师同意，学院、学部批准，研究生院核定后方可生效。

## 第十一章 附则

**第四十一条** 本办法由研究生院负责解释。

**第四十二条** 本办法自发布之日起施行。

\* 《研究生课程学习奖优与黄牌说明（含筛选成绩计算方法）》

## 硕士研究生课程学习奖优与黄牌说明

硕士生课程学习结束后，各学院、学部需进行硕士生学位课筛选成绩的计算（计算方法见附件），按课程的第一次考试成绩计算筛选成绩，有改修课程的按原课程成绩计算筛选成绩，第一外国语课程不参与计算筛选成绩。筛选成绩将作为研究生学业奖学金评定时的的重要依据之一。

对筛选成绩偏低的研究生，由学院、学部给予“黄牌”，并将“黄牌”学生名单报研究生院备案。给予“黄牌”的比例一般为该届研究生总数的 2-5%，具体比例由各学院、学部自行确定。被给予“黄牌”警示的研究生，需在其所属学科学位评定分委员会进行开题报告。同时，学位评定分委员会还将跟踪其学位论文工作的全过程。

筛选成绩的计算方法如下：

由于不同课程教师评分标准不一致，存在有的课程成绩偏高，而有的课程成绩偏低等现象，使选不同课程的同学之间成绩的比较存在偏差。为解决这一问题，研究生院通过多轮测算，并在专家讨论和征求部分学院、学部学生意见的基础上，确定采用如下的筛选成绩计算方法：

以研究生学位课实际成绩为计算依据，按照下述公式计算筛选成绩：

1. 计算单门课程平均成绩

$$P_i = \frac{1}{n} \sum_{j=1}^n c_{ij}$$

式中： $P_i$  为第  $i$  门课程的平均成绩， $c_{ij}$  为第  $i$  门课程第  $j$  名学生的成绩， $n$  为学习第  $i$  门课程的人数。

2. 计算总平均成绩

$$P = \frac{1}{N} \sum_{i=1}^N P_i \quad (i \in [1, N])$$

式中： $N$  为计入筛选成绩的课程门数。

3. 计算第  $i$  门课程平均成绩与总平均成绩的比率

$$\eta_i = \frac{P_i}{P}$$

4. 计算某学生  $j$  第  $i$  门课程的有效成绩

$$C_{ij} = c_{ij} (2 - \eta_i)$$

5. 计算某学生  $j$  最终筛选成绩

$$A_j = \frac{\sum_{i=1}^M c_{ij} x_{ij}}{\sum_{i=1}^M x_{ij}}$$

式中： $M$  为某学生  $j$  所选学位课门数， $x_{ij}$  为某学生  $j$  第  $i$  门学位课的学分。

# Measures for Management of Graduate Courses and Grade Recording of Harbin Institute of Technology

No. 36 [2023], Graduate School

## Chapter I General Provisions

**Article 1** These Measures are developed to effectively achieve the talent cultivation goals of Harbin Institute of Technology (HIT) in accordance with the “Regulations for Management of Students in Regular Higher Education Institutions” (Order No. 41 of the Ministry of Education, February 4, 2017) and “Regulations for Management of Graduate Student Status of Harbin Institute of Technology”, tailored to the specific conditions of the graduate education at the university.

## Chapter II Course (Module) Requirements

**Article 2** Master’s students are required to complete a minimum of 24 credits, which includes at least 14 credits from degree-required courses, 5-8 credits from elective courses, 2-5 credits from compulsory modules. Professional master’s degree students should meet the credit requirements specified by the National Steering Committee of Professional Graduate Education before graduation. Both national and university-specific talent training programs shall follow their respective guidelines. The credit requirements are detailed in the table below:

**Table 1 Credit Requirements for Master’s Students**

Category	Course	Credits required for academic degrees	Credits required for professional degrees
Degree-required	Theory and Practice of Socialism with Chinese Characteristics for a New Era	2	
	Introduction to the Dialectics of Nature	1	
	First Foreign Language	2	
	Core Courses (including basic math)	$\geq 9$	
Elective	Major-specific or Cross-disciplinary Courses	$\geq 8$	$\geq 5$
Compulsory Modules	Thesis Proposal	1	
	Mid-term Thesis Report	1	
	Professional Practice	-	3
Total Credits		$\geq 24$	

**Article 3** Doctoral students are required to complete a minimum of 12 credits, which includes 4 credits from compulsory modules. The credit requirements are detailed in the table below:



**Table 2 Credit Requirements for Doctoral Students**

Category	Course	Credits required for academic degrees	Credits required for professional degrees
Degree-required	Marxism in China and Contemporary Era	2	
	Core Courses	Core Courses: $\geq 4$ ; Elective Courses: No requirements	Core Courses: $\geq 2$ ; Elective Courses: No requirements
Elective	Major-specific or Cross-disciplinary Courses		
	Engineering Management Courses	-	2 (Required)
Compulsory Modules	Academic Activities	1	
	Comprehensive Evaluation	1	
	Dissertation Proposal	1	
	Mid-term Dissertation Report	1	
Total Credits		$\geq 12$	

**Article 4** Students in Combined Master's-Doctoral Programs or Direct-Entry Doctoral Programs are required to complete a total of 30 credits, which includes 19 credits from degree-required courses, 5-8 credits from elective courses, and 3-6 credits from compulsory modules. The credit requirements are detailed in the table below:

**Table 3 Credit Requirements for Students in Combined Master's-Doctoral Programs or Direct-Entry Doctoral Programs**

Category	Course	Credits required for academic degrees	Credits required for professional degrees
Degree-required	Theory and Practice of Socialism with Chinese Characteristics for a New Era	2	
	Introduction to the Dialectics of Nature	1	
	Marxism in China and Contemporary Era	2	
	First Foreign Language	2	
	Core Courses	$\geq 12$ (Including at least 1 doctoral-level core course)	
Elective	Major-specific or Cross-disciplinary Courses	$\geq 8$	$\geq 5$
Compulsory Modules	Professional Practice	-	3
	Dissertation Proposal	1	
	Mid-term Dissertation Report	1	
	Academic Activities	1	
Total Credits		$\geq 30$	

Note: If a major has specific credit requirements tailored to its needs, those requirements should be followed, provided they align with the university's overall standards.

**Article 5** Requirements for Courses in Chinese Politics and Culture

“Marxism in China and Contemporary Era”: 32 class hours, 2 credits. This course is compulsory for all doctoral students.

“Theory and Practice of Socialism with Chinese Characteristics for a New Era”: 32 class hours, 2 credits. “Introduction to the Dialectics of Nature”: 16 class hours, 1 credit. These two courses are compulsory for all graduate students.

“Chinese Culture”: 32 hours, 2 credits. This course is compulsory for international students and students from Hong Kong, Macao, and Taiwan.

#### **Article 6** Requirements for First Foreign Language Courses

First Foreign Language: 32 class hours, 2 credits. Three languages are offered: English, Russian, and Japanese. Students who meet the criteria outlined in the “Exemption Procedures for Graduate Students’ First Foreign Language Courses” can apply for an exemption. Approved exemptions will be recorded as “exempt”. Students who First Foreign Language courses will earn credits; however, these credits will not be considered in scholarship eligibility evaluations. Other language courses taken for personal enrichment do not count towards academic credit.

**Article 7** Core courses are essential for building fundamental knowledge of a discipline and honing both academic and practical skills. Graduate students should, in consultation with their supervisors, select from these courses based on their needs and interests to meet the credit requirements for degree-required courses.

**Article 8** Elective courses are typically aligned with key research areas or emerging topics within a student’s major. Graduate students, in consultation with their supervisors, can select from a diverse array of disciplines and levels—including both graduate and undergraduate courses—to fulfill their elective credit requirements based on their interests and needs.

**Article 9** Supervisors may assign supplementary courses based on the research needs and disciplinary backgrounds of their graduate students. These courses will be graded but will not count towards the credit requirements.

**Article 10** Academic Activities: 1 credit. During their degree program, doctoral students must participate in academic activities, including international or domestic academic conferences, presentations, and lectures. Typically, students are required to deliver at least one oral presentation in a foreign language. The specific requirements for earning these credits are determined by the respective college or department.

**Article 11** Practical Activities. Professional doctoral students must engage in practical activities pertinent to their research topics and industry needs, such as engineering technology seminars and project organization and management. To pass the assessment, students are required to submit a report of at least 5,000 words.

**Article 12** Professional Practice: 3 credits. Professional master’s students are required to complete a professional practice component as part of their degree program. Their college or department shall establish the specific requirements and assessment criteria for this practice.

### **Chapter III Development and Revision of Training Plans**

**Article 13** New students are required to create a personal training plan with the guidance of their supervisor within one week of registering at the university. This plan must be submitted via the graduate education management system. Once the plan receives approval from the supervisor, students can then proceed to select their courses for the term through the same system.

**Article 14** The personal training plan may be adjusted conditionally based on a student's academic and research progress. During the first 2 weeks of each term, students may request changes to their training plan through the graduate education management system. Upon approval by their supervisor, they can then add or drop courses for the term. If a student is unable to meet the deadline due to exceptional circumstances, they may apply to their college or department for assistance.

### **Chapter IV Course Enrollment and Participation**

**Article 15** After successful course enrollment, graduate students must participate in all required academic activities, including assignments and practical components, and pass the assessments to earn credits. Students who miss 1/3 or more of the total class hours of a course will be ineligible to take the course assessment, and their grade will be recorded as "0".

**Article 16** Graduate students can enroll in graduate-level and open online courses offered by domestic and international universities and research institutions with academic reputations comparable to HIT in the relevant disciplines. However, they must obtain approval from their supervisor and the relevant college or department leadership, and they must report their enrollment to the Graduate School. Any associated costs shall be borne by students themselves. After completing the courses, students must submit the original transcript issued by the offering institution to their college or department for grade and credit recognition. Approved grades will be recorded on their transcript. Generally, credits earned from external courses should not exceed one-third of the total course credits required by the training program, and these grades will not be considered in eligibility evaluations for competitive scholarships.

**Article 17** Graduate students may take undergraduate courses as part of their studies. To do so, they must register for the courses they need in the graduate education management system within the designated period at the beginning of each term. Any courses completed without proper registration within this period will not be eligible for grades or credits. Undergraduate courses taken by graduate students will appear on their transcripts; however, only those from outside their own discipline can be counted as elective credits, courses within a student's own discipline will not count toward the credit requirements of their graduate program.

**Article 18** With the approval of their supervisor and the relevant college or department leadership, graduate students may enroll in summer term courses and courses from HIT's Outstanding Talent Training Program. If they successfully pass the assessments, these courses will be recorded on their transcripts and can be counted as elective credits.

## Chapter V Course Assessment and Grade Recording

**Article 19** Assessment in courses is conducted through either examinations or evaluations.

**Article 20** For degree-required courses, students are assessed through exams and graded on a 100-point scale. A score of 60 or higher is passing, and the grades should reflect overall performance throughout the course. Exams may be administered in written or oral formats. Written exams require a test paper, while oral exams need detailed records. Grades should be distributed fairly and equitably.

**Article 21** For elective courses, students may be assessed through evaluations. Grades can be assigned on a 100-point scale or a Pass/Fail basis. Evaluation methods may include written tests, oral exams, book reports, research reports, etc.

**Article 22** For compulsory modules, students are assessed based on discipline-specific requirements and methods, typically using the Pass/Fail grading system.

**Article 23** Assessment results will be accurately recorded on the student's transcript. Grades for degree-required courses are included in the GPA. The conversion of scores between different scales is as follows:

100-Point Scale	Grade	Grade Points	Description
98 and above	A+	4.0	Excellent
95 to less than 98	A		
90 to less than 95	A-	3.7	
85 to less than 90	B+	3.3	Good
80 to less than 85	B	3.0	
77 to less than 80	B-	2.7	
73 to less than 77	C+	2.3	Fair
70 to less than 73	C	2.0	
67 to less than 70	C-	1.7	
63 to less than 67	D+	1.3	Pass
60 to less than 63	D	1.0	
0 to less than 60	Fail	0	Fail
Pass (60-100) 60 and above for evaluation-based courses	Pass		Pass
Fail (0-59) 0 to less than 60 for evaluation-based courses	Fail		Fail
Exempt Exempted courses	Exempt		Exempt

**Article 24** All courses with grade points are included in the GPA. The GPA is calculated as follows:

$$\text{GPA} = \frac{\sum(\text{Grade Points per Credit} \times \text{Course Credits})}{\sum \text{Course Credits}}$$

## **Chapter VI Deferred Exams**

**Article 25** Graduate students who are unable to attend a course assessment for valid reasons must apply for a deferral in advance. This requires completing the “Application Form for Deferred Examinations of Graduate Students” and providing any required supporting documents. The application will be considered valid only after it receives approval from the course instructor, the heads of the applicant’s department and college, and the Graduate School.

**Article 26** Graduate students who have been granted approval for a deferred exam shall complete the assessment at its next available offering. Their grade will be recorded based on their performance at that time.

**Article 27** Graduate students must not provide false information when applying for a deferred exam. Any instances of dishonesty will be addressed in accordance with the “Student Disciplinary Measures of Harbin Institute of Technology”.

## **Chapter VII Course Retake and Substitution**

**Article 28** Graduate students who fail a course may retake it by applying through the graduate education management system. Upon approval and enrollment, they required to attend all scheduled classes and complete the assessments for the next available offering of the course. If they have already attended the classes previously, they may opt to skip them and only take the exam. In this case, their grade will be based solely on their exam score.

**Article 29** After passing the retake, the grade will be marked as “Retake” on the student’s transcript and will not be included in the cumulative GPA of degree-required courses\*.

**Article 30** If a student fails a course, they may replace it with another one with the guidance of their supervisor, up to two times. The grades from these courses will not be included in the cumulative GPA of degree-required courses.

**Article 31** Graduate students who fail two or more retaken or substituted courses will be dismissed from their program.

**Article 32** Courses that have been passed cannot be retaken.

## **Chapter VIII Course Exemption**

**Article 33** Graduate students who have previously completed a course or acquired equivalent knowledge through other means may apply for an exemption from attending the course. Upon approval, they may skip the classes and proceed directly to the assessment. If they pass the assessment, they will be awarded the course credits.

**Article 34** To apply for a course exemption, students should complete the “Harbin Institute of Technology Graduate Student Class-Free Assessment Application Form” . This form must be signed

by both the student's supervisor and the course instructor. Once completed, submit the form to the Graduate School for final approval and record-keeping.

**Article 35** Exemptions for a First Foreign Language course are subject to the “Regulations for Exemption from the First Foreign Language Courses for Graduate Students”.

## **Chapter IX Examination Conduct**

**Article 36** Students who miss an assessment without prior approval will be marked as absent, and their grade will be recorded as “0” on their transcript.

**Article 37** Graduate students must adhere to the “Graduate Examination Rules of Harbin Institute of Technology”. Any violations of conduct or instances of cheating will be handled in accordance with the “Examination Discipline and Misconduct Regulations of Harbin Institute of Technology” .

## **Chapter X Grade Management**

**Article 38** Instructors must complete grading and submit course grades within one week after assessment, or within two weeks in exceptional circumstances. Students can check their grades in the graduate education management system.

**Article 39** If a graduate student wishes to contest a course grade, they can submit an appeal to their college or department within ten working days of after the grade is released. Additionally, the appeal should be sent to the Graduate School for review and record-keeping.

**Article 40** Students may apply for credit recognition for courses completed at Harbin Institute of Technology before their enrollment, provided these courses align with current program requirements. The application must be submitted by the students to their supervisor and college/department for approval, and finally confirmed by the Graduate School. Approval from the Graduate School is required for the credits to be officially recognized.

## **Chapter XI Supplementary Provisions**

**Article 41** The Graduate School is responsible for interpreting these Measures.

**Article 42** These Measures take effect as of the date of issuance.

**Appendix:** Graduate Course Performance Awards and Yellow Card System

## Appendix

### Graduate Course Performance Awards and Yellow Card System

After completing their course study, graduate students will receive a "screened score" from their department or college, which is used to evaluate academic performance and determine eligibility for scholarships. This score is based on initial exam scores from degree-required courses. If a student replaces a course, the original score is used, instead of the new course's score. Scores from first foreign language courses are excluded.

Students with unsatisfactory scores may receive a "yellow card" warning and will be reported to the Graduate School. Typically, 2% to 5% of students in a given cohort receive this warning, with the exact percentage set by each college or department. Those who receive a yellow card warning must present their thesis/dissertation proposal to their department's degree evaluation subcommittee. Additionally, the subcommittee will closely monitor the student's thesis work to ensure satisfactory progress.

#### Calculation of the Screened Score:

Due to variations in grading standards among different instructors, discrepancies may occur, resulting in some students receiving higher scores and others lower. This variation can cause potential bias when comparing scores among students in different courses. To address this issue, the Graduate School has conducted multiple rounds of calculation testing, engaged in expert discussions, and incorporated student feedback from various colleges and departments. As a result, the following method has been established for calculating the screened score:

The screened score is based on the actual scores earned from degree-required courses. The calculation process is as follows:

1. Calculate the average score of a course.

$$P_i = \frac{1}{n} \sum_{j=1}^n c_{ij}$$

where  $P_i$  is the average score of Course  $i$ ,  $c_{ij}$  is the score of Student  $j$  in Course  $i$ , and  $n$  is the number of students enrolled in Course  $i$ .

2. Calculate the overall average score.

$$P = \frac{1}{N} \sum_{i=1}^N P_i \quad (i \in [1, N])$$

where  $N$  is the number of courses included in the screened score.

3. Calculate the ratio of the average score of each course to the overall average score.

$$\eta_i = \frac{P_i}{P}$$

4. Calculate the effective score for Student  $j$  in Course  $i$

$$c_{ij} = c_{ij}(2 - \eta_i)$$

5. Calculate the screened score of Student  $j$

$$A_j = \frac{\sum_{i=1}^M c_{ij} X_{ij}}{\sum_{i=1}^M X_{ij}}$$

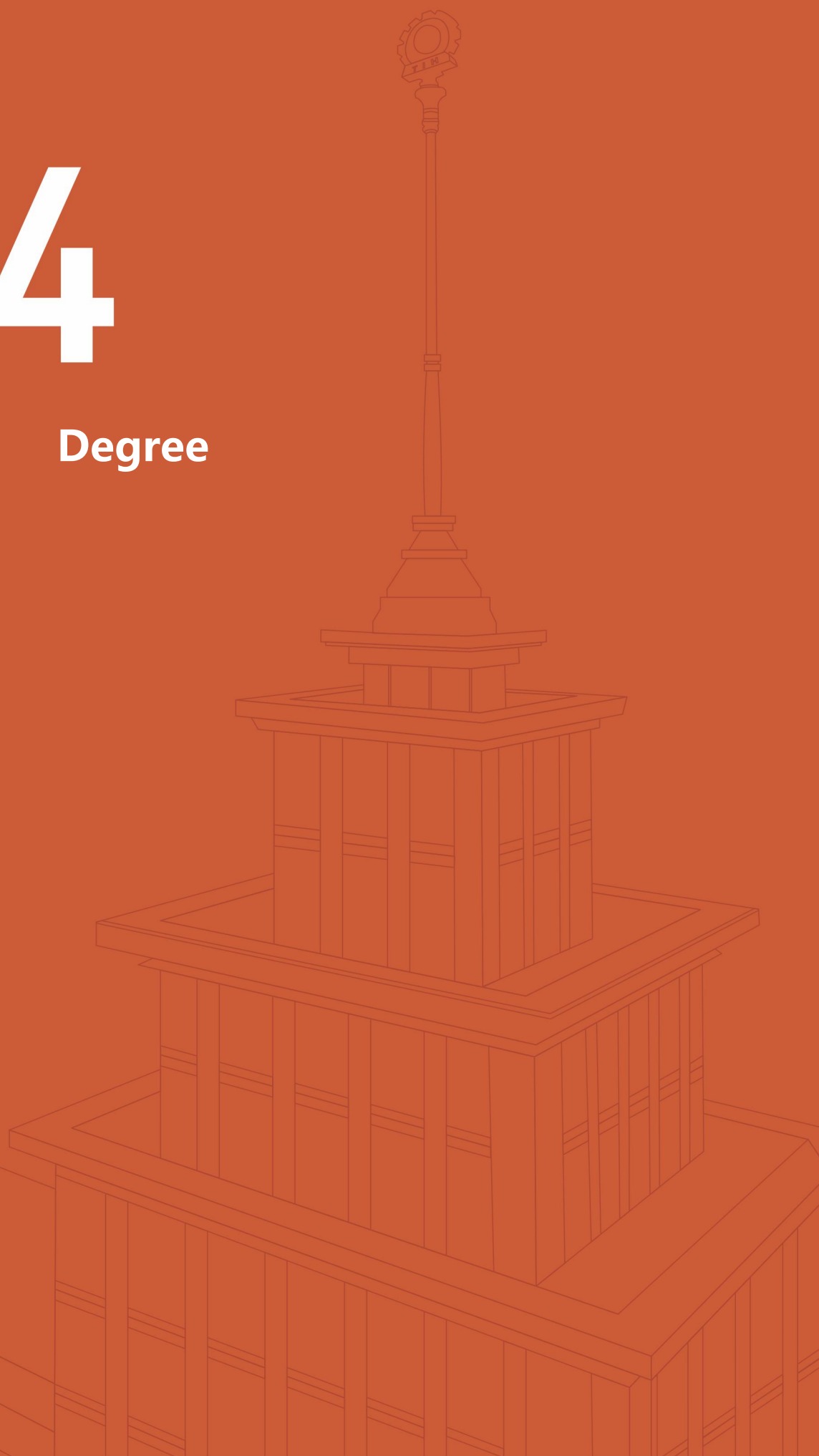
where  $M$  is the number of degree-required courses taken by Student  $j$ , and  $X_{ij}$  is the credit for Course  $i$  taken by Student  $j$ .

Graduate School of Harbin Institute of Technology  
August 22, 2023



04

学位 Degree



# 哈尔滨工业大学研究生学位论文过程管理办法

研院发（2023）37 号

## 第一章 硕士研究生学位论文开题的有关要求

### 第一条 学位论文开题工作安排

1. 硕士研究生的开题答辩时间参照表 2 时间安排由各学院、学部根据研究生工作进度确定；
2. 学术学位和专业学位硕士研究生学位论文开题应分类进行。硕士开题评议小组由教授、硕导 5-7 人组成，其中硕导不少于 3 人，鼓励邀请国内外高水平大学教授或行业、企业专家作为评议小组成员，专业学位硕士研究生开题评议小组中应有来自行业、企业的专家，评议小组成员名单由学位评定分委员会审定；
3. 对于学位课程筛选成绩“黄牌”的研究生，其开题评议小组应有其所属学位评定分委员会委员参加；
4. 开题报告通过 6 个月以上方可办理硕士学位论文答辩手续。

### 第二条 学位论文开题报告的内容

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。

### 第三条 学位论文开题的要求

1. 硕士研究生的学位论文开题报告必须先经导师审阅同意，方能申请开题答辩；
2. 硕士学位论文开题报告字数应在 5000 字以上，重点阐述上一条中的 1-5 款内容。主要参考文献应在 30 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，教材不应作为参考文献；
3. 硕士学位论文开题以口头答辩的方式进行，研究生用 10~15 分钟汇报，10~15 分钟接受评议小组提问。

### 第四条 学位论文开题的审核

1. 学位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。开题不合格的研究生须在两个月内重新申请开题。第二次开题仍“不合格”者，予以退学；

2. 评议小组应切实履行对研究生学位论文开题质量的把关责任，提出合理有效的意见建议，认真填写《硕士学位论文开题评议表》，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，并上报所在学院、学部，由学院、学部负责保存至学生毕业后 1 年。

## **第二章 硕士研究生学位论文中期的有关要求**

### **第五条 学位论文中期检查工作安排**

1. 硕士学位论文中期检查工作的时间参照表 2 时间安排由各学院、学部根据研究生工作进度确定；

2. 学术学位和专业学位硕士研究生学位论文中期检查应分类进行。硕士中期检查评议小组由教授、硕导 3-5 人组成，其中硕导不少于 3 人，鼓励邀请国内外高水平大学教授或行业、企业专家作为评议小组成员，专业学位硕士研究生中期检查评议小组中应有来自行业、企业的专家，评议小组成员名单由学位评定分委员会审定；

3. 中期检查通过 2 个月以上方可办理硕士学位论文答辩手续。

### **第六条 学位论文中期报告的主要内容**

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。

### **第七条 学位论文中期检查的审核**

1. 硕士研究生学位论文中期报告必须先经导师审阅同意，方能申请中期答辩；

2. 学位论文中期以口头答辩的方式进行，研究生用 10~15 分钟汇报，10~15 分钟接受评议小组提问；

3. 学位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须在两个月内再次申请中期检查。第二次中期检查仍不合格者，予以退学；

4. 评议小组应对研究生的工作进行认真的评议并填写《硕士学位论文中期检查评议表》及《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、实际受查人数、工作需加速者、有可能延期者等，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。总结上报所在学院、学部，并保存至学生毕业；

5. 各学院、学部、学科应加强研究生学位论文中期之后的管理工作，导师要加强对研究生后期研究工作的指导，确保学位论文质量。

### 第三章 博士研究生综合考评的有关要求

**第八条** 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的能力，在第一学年结束时对博士研究生进行综合考评。

**第九条** 综合考评内容

1. 思想政治素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新性科学研究工作的能力；
4. 其它。

**第十条** 综合考评安排

1. 博士研究生综合考评由学院、学部组织进行，各学院、学部分别制定《博士研究生综合考评细则》。博士研究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. 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. 综合考评总成绩在后 10%的博士研究生，将被给予“黄牌”提醒。得到“黄牌”的博士研究生可 6 个月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。第二次综合考评仍不合格者，予以退学。不按时参加综合考评的记为“不合格”。

### 第四章 博士研究生学位论文开题的有关要求

**第十一条** 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。博士研究生应进行广泛的调查研究、阅读文献资料，了解学科现状和动向，尽早确定课题方向，制定论文工作计划。课题方向应对学术发展、经济建设和社会进步有重要意义。

开题报告是博士研究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研究生进行课题指导的重要步骤，也是师生在所选课题范围内共同切磋，整理、确定论文思路及主线的重要科学活动。

开题答辩是博士研究生向由相关学科专家组成的评议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？”。由专家组进行集体审议，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，同时也检查博士研究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，评议小组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进行质询，并提供建议和帮助，使论文工作的方向、内容和方案更为合理。

## **第十二条 学位论文开题工作安排**

1. 博士研究生应于入学 1.5 年内完成博士学位论文开题，硕/本博连读生应于入学 2.5 年内完成。学院、学部可统一组织，也可各研究方向单独进行；

2. 博士研究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，方可申请学位论文开题。学位论文开题应以口头答辩的方式进行。博士研究生进行口头答辩的时间应不少于 30 分钟，书面报告的字数应不少于 1.5 万字；

3. 学术学位和专业学位博士研究生学位论文开题应分类进行。博士开题评议小组由相关学科的博导、教授 5-7 人组成，其中博导不少于 3 人，学位评定分委员会成员不少于 1 人，外单位或外学科成员不少于 1 人，鼓励邀请国内外高水平大学教授或行业、企业知名专家作为评议小组成员，专业学位博士研究生开题评议小组中应有来自行业、企业的专家，评议小组成员名单由学位评定分委员会审定。

## **第十三条 学位论文开题报告的内容**

1. 课题来源及研究的目的和意义；
2. 国内外研究现状及分析；
3. 学位论文的主要研究内容、实施方案及其可行性论证；
4. 前期的理论与试验论证工作的结果；
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。

## **第十四条 对学位论文开题报告的要求**

1. 博士研究生学位论文开题报告应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、主要研究方法及其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。明确阐明课题研究的目的和课题的科学意义及实践意义；

2. 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。

## **第十五条 学位论文开题的审核**

1. 学位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”。口头答辩结束后，评议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。学位论文开题通过的博士研究生获得 1 学分，继续进行博士学位论文研究工作；

2. 评议小组应填写《博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、博士研究生的工作能力等方面的评议。并上报各学院、学部保存至学生

毕业后1年;

3. 对通过的开题报告,博士研究生应根据评议小组的意见进行修改,经导师审阅通过后,交学院、学部研究生教学秘书保存。研究生院定期组织专家组对学位论文开题工作进行抽查;

4. 博士研究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。硕博连读生如已在硕士阶段完成学位论文开题工作可免于进行博士综合考评,需进行博士学位论文开题。论文的主要研究方向有变动时,必须重新进行学位论文开题;

5. 博士研究生不按时开题,成绩按“不合格”记载。开题不合格的,可于6个月内再次申请进行,第二次开题仍不合格者,予以退学。

## 第五章 博士研究生学位论文中期的有关要求

### 第十六条 学位论文中期检查工作安排

1. 博士研究生应于入学2.5年内完成博士学位论文中期检查,硕/本博连读生应于入学3.5年内完成;

2. 鼓励通过学院、学部联合举办多学科交叉博士生论坛的形式集中进行;

3. 学术学位和专业学位博士研究生学位论文中期检查应分类进行。博士中期检查评议小组由博导、教授5-7人组成,博导不少于3人,鼓励邀请国内外高水平大学教授或行业、企业知名专家作为评议小组成员,专业学位博士研究生中期检查评议小组中应有来自行业、企业的专家,评议小组成员名单由学位评定分委员会审定。

### 第十七条 学位论文中期检查主要内容

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的阶段性成果;

4. 目前存在或预期可能出现的问题;

5. 下一步工作计划和研究内容。

### 第十八条 学位论文中期检查的要求

博士研究生须在研究生教育管理系统中填写《博士学位论文中期进展考核表》,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。

### 第十九条 学位论文中期检查的审核

1. 导师应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. 学位论文中期检查结果记为“合格”或“不合格”。博士学位论文中期检查合格的获得1学分,继续进行博士学位论文研究工作;

3. 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,可于6个月内再次申请中期检查。第二次中期检查仍不合格者,予以退学;

4. 硕博连读生如已在硕士阶段完成学位论文中期检查工作可免于进行博士综合考评和学位论文开题，需进行博士学位论文中期检查。

## **第六章 附则**

**第二十条** 本规定由研究生院负责解释。

**第二十一条** 本规定自发布之日起施行。

附件：博士研究生过程管理考核时间表及硕士研究生主要必修环节时间安排表

表 1 博士研究生过程管理考核时间表

博士研究生类别	综合考评	开题	中期
普通博士（不含同等学力博士）	第 1 学年末	1.5 年内	2.5 年内
直博士生	第 2 学年末	2.5 年内	3.5 年内
硕博连读生（自硕士入学起计算）	通过硕士开题的免于进行综合考评		

表 2 硕士研究生主要必修环节时间安排表

学制	开题	中期	专业实践
2 年制	第二学年秋季学期开学初 2 周内完成	第二学年春季学期开学初 3 周内完成	时间和方式由学院、学部自定
2.5 年制		第二学年末完成	
3 年制			



# Harbin Institute of Technology Measures for Graduate Thesis and Dissertation Process Management

No. 37 [2023], Graduate School, HIT

## Chapter I Requirements on Evaluation of Master's Thesis Proposals

### Article 1 Arrangements for Thesis Proposal Evaluation

1. The scheduling of thesis proposal evaluations for master's degree candidates is set by each college or department according to their graduate program's overall schedule. Please refer to Table 2 for details.

2. Thesis proposals for academic and professional master's degrees should be evaluated separately. The thesis proposal evaluation panel should consist of 5 to 7 members, including professors and at least 3 master's supervisors. It is recommended to include prominent university professors from domestic and international institutions, as well as industry experts. For professional degree candidates, the panel must include industry experts. The list of panel members requires approval from the Academic Degree Evaluation Sub-committee.

3. For students who have received a "yellow card" in their degree-required course grades, a member of the sub-committee must be included on their thesis proposal evaluation panel.

4. The master's thesis defense procedures may begin only six months after the thesis proposal is approved.

### Article 2 A thesis proposal must include the following elements:

1. The source, purposes and significance of the research topic;
2. The current state of research, both domestically and internationally;
3. The main research content and the research plan;
4. Goals and expected outcomes of the research;
5. Summary of the research work completed so far and a proposed timeline for remaining tasks;
6. The available and required resources and funding needed to complete the research;
7. Identification of potential difficulties and proposed solutions;
8. A list of major references cited.

### Article 3 Requirements on Thesis Proposals

1. Before applying for a proposal defense, it must be reviewed and approved by the candidate's supervisor.

2. The proposal should be a minimum of 5,000 words, focusing primarily on Items 1 to 5 from Article 2. It should include at least 30 major references, with no fewer than one-third being from foreign literature. Candidates should emphasize reviewing recent articles from both Chinese and international journals; textbooks should not be cited as references.

3. The proposal defense is conducted orally, with the candidate presenting for 10 to 15 minutes, followed by a 10 to 15-minute question-and-answer session with the evaluation panel.

#### **Article 4** Evaluation of Thesis Proposals

1. The thesis proposal will be evaluated on a five-grade scale: “Excellent”, “Good”, “Fair”, “Pass”, and “Fail”. Typically, no more than 25% of candidates receive an “Excellent” grade, and at least 15% are rated as “Pass” or “Fail.” If a candidate fails to complete the proposal on time without prior approval, the grade will be recorded as “Fail”. Candidates who fail the proposal must reapply for proposal defense within two months. A second failure will result in dismissal from their program.

2. The evaluation panel is responsible for ensuring the quality of the thesis proposal. They should provide constructive feedback and complete the “Master's Thesis Proposal Evaluation Form”. This form must include assessments of the topic’s rationality and feasibility, the quality of the literature review, and the candidate’s research capabilities. The completed form should be submitted to the relevant college or department and retained for one year after the candidate’s graduation.

### **Chapter II Requirements on Mid-Term Report of Master’s Theses**

#### **Article 5** Arrangements for Mid-Term Thesis Report

1. The scheduling of mid-term thesis report should align with the schedule in Table 2 and be determined by each college or department based on the students’ progress.

2. Mid-term thesis report for academic and professional master’s degrees should be conducted separately. The mid-term report evaluation panel should consist of 3 to 5 members, including professors and at least 3 master’s supervisors. It is recommended to include prominent university professors from domestic and international institutions, as well as industry experts. For professional degree candidates, the panel must include industry experts. The list of panel members requires approval from the Academic Degree Evaluation Sub-committee.

3. The master’s thesis defense procedures may begin only 2 months after the mid-term report is approved.

#### **Article 6** Content of the Mid-Term Report

1. Whether the thesis work is proceeding as outlined in the original proposal and schedule;
2. Summary of the research completed and results obtained to date;
3. Existing or anticipated problems;
4. Subsequent research plans;
5. Evaluation of the feasibility of completing the thesis within the scheduled time frame.

#### **Article 7** Evaluation of the Mid-Term Report

1. The mid-term report must be reviewed and approved by the candidate’s supervisor before applying for the mid-term defense.

2. The mid-term defense is conducted orally, with the candidate presenting for 10 to 15 minutes, followed by a 10 to 15-minute question-and-answer session with the evaluation panel.

3. The result of the defense is either “Pass” or “Fail”. If a candidate fails to complete the mid-term report on time without prior approval, the grade will be recorded as “Fail”. Students who fail the mid-term report must reapply for a defense within two months. A second failure will result

in dismissal from their program.

4. The evaluation panel should thoroughly evaluate the candidate's thesis progress and complete the "Master's Thesis Mid-Term Report Evaluation Form" and the "Summary of Master's Thesis Mid-Term Report Evaluation". The summary should provide an overall evaluation, the total number of students expected to be evaluated, the number actually evaluated, those requiring accelerated progress, and those who may need an extension. For students showing insufficient progress or few results, the panel should recommend intensified efforts. If major issues or difficulties are found, the panel should require the candidate's supervisor to revise the research plan and take necessary measures. The completed summary should be submitted to the candidate's department or college and retained until their graduation.

5. Academic departments should enhance their management of graduate theses after the mid-term report. Supervisors should offer more support to help students produce high-quality theses.

### **Chapter III Requirements for the Comprehensive Evaluation of Doctoral Students**

**Article 8** The comprehensive evaluation is conducted at the end of the first academic year to assess doctoral students' understanding of fundamental theories, specialized knowledge in their discipline, and overall ability in research.

#### **Article 9** Content of the Comprehensive Evaluation

1. Political awareness, moral integrity, and research conduct;
2. Depth and breadth of the student's understanding of essential theories and specialized content relevant to their field of study;
3. Ability to effectively apply acquired knowledge in conducting innovative and original research;
4. Other aspects pertinent to academic and research performance.

#### **Article 10** Arrangements for the Comprehensive Evaluation

1. Each college or department is responsible for organizing the comprehensive evaluation for their doctoral students, including the development of "Rules for Comprehensive Evaluation of Doctoral Students". The evaluation is composed of two parts: supervisor evaluation and discipline evaluation. Discipline evaluation typically involves a thorough examination of the student's foundational professional knowledge, research ability, and potential for future scholarly contributions.

2. Doctoral students who successfully pass the evaluation will earn 1 credit and advance fully into the research phase of their doctoral dissertation.

3. Students who rank in the bottom 10% based on the evaluations results will receive a "yellow card" warning. Those who receive a "yellow card" may apply for a second evaluation within six months. If successful in the second attempt, they will be awarded the corresponding credit. Failure to pass the second evaluation will result in expulsion from their program. Students who miss the scheduled evaluation will receive a "Fail" grade.

### **Chapter IV Requirements on Evaluation of Doctoral Dissertation Proposals**

**Article 11** The dissertation proposal is an important document that lays the groundwork for the entire dissertation process and is essential for maintaining the quality and direction of research. Doctoral students should engage in comprehensive research, review relevant literature, and stay updated on current trends in their field to define their research direction and develop a detailed work plan. Their research should aim to make a meaningful impact on the academia, economic development, and social progress.

The dissertation proposal is an academic document prepared by a doctoral student under the guidance of their supervisor and requires the supervisor's approval. This preparation process is a crucial step in shaping the student's research topic and provides an opportunity for the student and supervisor to collaborate in refining the dissertation's framework and core ideas.

During the proposal defense, the student presents the background of their dissertation topic, research content and plan to an evaluation panel of experts in their field. Essentially, the defense addresses key questions: Why is this research necessary? What will be studied? How will it be conducted? The panel will evaluate the relevance of the dissertation topic, the appropriateness of the research content, and the feasibility of the research plan. They will also assess whether the doctoral student has a deep understanding of the proposed topic, a comprehensive grasp of the current state of research in the field, and sufficient preparation for the work ahead. Based on the evaluation, the panel will ask questions from various perspectives regarding the scientific approach and research methodology, offering suggestions and guidance to refine the research direction, content, and plan.

**Article 12** Arrangements for Dissertation Proposal Evaluation

1. Doctoral students must complete their dissertation proposal within 1.5 years of enrollment, and those in combined master's-doctoral/ bachelor's-doctoral programs must complete it within 2.5 years. The evaluation process can be organized collectively by their department/college or conducted separately according to their field of study.

2. Before applying for a proposal defense, doctoral students shall submit their written thesis proposal to their supervisor for review and approval. The defense is conducted orally. The oral defense should last at least 30 minutes, and the written proposal should be a minimum of 15,000 words.

3. Dissertation proposals for academic and professional doctoral degrees should be evaluated separately. The dissertation proposal evaluation panel should consist of 5 to 7 members, including doctoral supervisors and professors from the relevant field. Among them, at least three should be doctoral supervisors, at least one should be a member of the Academic Degree Evaluation Sub-committee, and at least one should be from an external institution or discipline. It is recommended to include prominent university professors from domestic and international institutions, as well as industry experts. For professional degree candidates, the panel must include industry experts. The list of panel members requires approval from the Sub-committee.

**Article 13** A thesis proposal must include the following elements:

1. The source, purposes and significance of the research topic;
2. The current state of research, both domestically and internationally;
3. The main research content, plan, and feasibility analysis;

4. The outcomes of preliminary theoretical research and validation;
5. Dissertation timeline and expected outcomes of the research;
6. Anticipated original contributions of the dissertation;
7. The available and required resources, external collaboration plan, and funding needed to complete the research;
8. Identification of potential difficulties and proposed solutions;
9. Key references cited.

#### **Article 14 Requirements on Dissertation Proposals**

1. The dissertation proposal must be grounded in a thorough literature review, offering a comprehensive overview and analysis of research trends, major recent developments, primary research methods, and existing results, both domestically and internationally. Citations should be accurately referenced. The research objectives and the scientific and practical significance of the topic must be clearly presented.

2. The list of key references should include more than 50 items, with at least half being foreign sources. Generally, at least one-third of the references should have been published within the last five years, with some published within the last two years. Textbooks, technical standards, and product samples are generally not to be included as references.

#### **Article 15 Evaluation of Dissertation Proposals**

1. The dissertation proposal will be evaluated on a five-grade scale: “Excellent”, “Good”, “Fair”, “Pass”, and “Fail”. After the oral defense, the evaluation panel will hold an internal meeting to decide whether to approve the proposal and provide supplementary or corrective suggestions. Students who pass the evaluation will earn 1 credit and proceed with their dissertation work.

2. The evaluation panel must complete the “Doctoral Dissertation Proposal Evaluation Results”, which includes evaluations of the topic’s rationale, feasibility, literature review, and the student’s research ability. This form should be submitted to their department or college and retained for one year after the student graduates.

3. For approved proposals, students should revise their work according to the panel’s suggestions, obtain their supervisor’s approval, and then submit the revised proposal to the graduate academic secretary of their department or college for retention. The Graduate School will periodically organize expert groups to conduct random checks on the dissertation proposal process.

4. The research focus and main content of the final dissertation should align with the approved proposal. Students in combined master’s-doctoral programs who completed their proposal during the master’s stage are exempt from the comprehensive evaluation for doctoral students but must still complete the doctoral thesis proposal. If the research focus changes, a new dissertation proposal process will be required.

5. Failure to complete the dissertation proposal on time will result in a “Fail”. Students who fail the proposal defense may reapply within six months. A second failure will result in expulsion.

### **Chapter V Requirements on Mid-Term Report of Doctoral Dissertations**

#### **Article 16 Arrangements for Mid-Term Dissertation Report**

1. Doctoral students must complete their mid-term dissertation report within 2.5 years of enrollment, and those in combined master’s-doctoral/ bachelor’s-doctoral programs must complete it

within 3.5 years.

2. It is recommended that colleges or departments conduct this evaluation collaboratively, with the option to organize multidisciplinary doctoral forums.

3. Mid-term dissertation report for academic and professional doctoral degrees should be conducted separately. The mid-term report evaluation panel should consist of 5 to 7 members, including professors and at least 3 doctoral supervisors. It is recommended to include prominent university professors from domestic and international institutions, as well as industry experts. For professional degree candidates, the panel must include industry experts. The list of panel members requires approval from the Academic Degree Evaluation Sub-committee.

#### **Article 17** Content of the Mid-Term Report

1. Whether the dissertation work is proceeding as outlined in the original proposal and schedule;
2. The progress of the dissertation work, including the student's work attitude and effort;
3. Summary of the research completed and results obtained to date;
4. Existing or anticipated problems ;
5. Next steps in the work plan and research content;

#### **Article 18** Requirements on Evaluation of the Mid-Term Report

Doctoral students must complete the "Doctoral Dissertation Mid-Term Evaluation Form" in the graduate education management system, summarizing the progress of their dissertation. The summary should describe the interim results achieved, the next steps in the work plan and research content, and how these align with the original dissertation proposal.

#### **Article 19** Evaluation of the Mid-Term Report

1. The supervisor should evaluate the doctoral student's progress in their cultivation plan, research activities, and dissertation work.
2. The result of the evaluation is either "Pass" or "Fail". Students who pass the evaluation will earn 1 credit and continue their dissertation work.
3. Failure to participate in the mid-term evaluation on time will result in a "Fail". Students who fail the evaluation may reapply within 6 months. A second failure will result in expulsion.
4. For students in combined master's-doctoral programs who have already completed the mid-term thesis report during the master's stage, the doctoral comprehensive evaluation and dissertation proposal can be waived, but they must still complete the doctoral dissertation mid-term evaluation.

### **Chapter VI Supplementary Provisions**

**Article 20** The Graduate School is responsible for interpreting these Measures.

**Article 21** These Measures shall enter into effect as of the date of issuance.

**Appendixes:** Timeline for Doctoral Student Process Management and Evaluation, Timeline for Compulsory Modules of Master's Programs

## Appendixes

**Table 1 Timeline for Doctoral Student Process Management and Evaluation**

Student Category	Comprehensive Evaluation	Dissertation Proposal	Mid-Term Report
Regular Doctoral Students (excluding those in the programs for individuals with equivalent academic qualifications)	End of the 1st academic year	Within 1.5 years	Within 2.5 years
Direct-Entry Doctoral Students	End of the 2nd academic year	Within 2.5 years	Within 3.5 years
Combined Master's-Doctoral Students(calculated from the start of the master's phase)	Exempt from comprehensive evaluation if the master's thesis proposal is passed		

**Table 2 Timeline for Compulsory Modules of Master's Programs**

Program Duration	Thesis Proposal	Mid-Term Report	Professional Practice
2 years	By September of the 2nd academic year	Within the first 3 weeks of the spring term of the 2nd academic year	Timing and methods determined by the college/department
2.5 years		By the end of the 2nd academic year	
3 years			

# 哈尔滨工业大学学位授予办法

哈工大研〔2024〕322号

（2016年1月制定 2024年12月23日哈尔滨工业大学2024年第22次校长办公会议审议修订 2024年12月27日哈尔滨工业大学发布）

## 第一章 总 则

**第一条** 为规范学位授予工作，保护学位申请人的合法权益，保障学位质量，培养担当民族复兴大任的时代新人，服务建设教育强国、科技强国、人才强国，根据《中华人民共和国学位法》及国务院学位委员会有关文件，结合学校实际，制定本办法。

**第二条** 学校学位工作坚持中国共产党的领导，全面贯彻国家的教育方针，践行社会主义核心价值观，落实立德树人根本任务，遵循教育规律，坚持公平、公正、公开，坚持学术自由与学术规范相统一，促进创新发展，提高人才自主培养质量。

**第三条** 具有哈尔滨工业大学学籍的本科生、研究生，以及具有研究生毕业同等学力人员，达到相应学业要求、学术水平或者专业水平的，可以依照本办法规定申请相应学位。

**第四条** 学校授予学位分为学士、硕士、博士，包括学术学位、专业学位等类型，按照学科门类、专业学位类别等授予。

## 第二章 学位授予条件

**第五条** 学位申请人应当拥护中国共产党的领导，拥护社会主义制度，遵守宪法和法律，遵守学术道德和学术规范，遵守学校相关规章制度。

**第六条** 接受本科教育，通过规定的课程考核或者修满相应学分，通过毕业论文或者毕业设计等毕业环节审查，表明学位申请人达到下列水平的，授予学士学位：

- （一）在本学科或者专业领域较好地掌握基础理论、专门知识和基本技能；
- （二）具有从事学术研究或者承担专业实践工作的初步能力。

**第七条** 接受硕士研究生教育，通过规定的课程考核或者修满相应学分，完成学术训练或者专业实践训练，通过学位论文答辩或者规定的实践成果答辩，表明学位申请人达到下列水平的，授予硕士学位：

- （一）在本学科或者专业领域掌握坚实的基础理论和系统的专门知识；
- （二）学术学位申请人应当具有从事学术研究工作的能力，专业学位申请人应当具有承担专业实践工作的能力。

**第八条** 接受博士研究生教育，通过规定的课程考核或者修满相应学分，完成学术研究



训练或者专业实践训练，通过学位论文答辩或者规定的实践成果答辩，表明学位申请人达到下列水平的，授予博士学位：

（一）在本学科或者专业领域掌握坚实全面的基础理论和系统深入的专门知识；

（二）学术学位申请人应当具有独立从事学术研究工作的能力，专业学位申请人应当具有独立承担专业实践工作的能力；

（三）学术学位申请人应当在学术研究领域做出创新性成果，专业学位申请人应当在专业实践领域做出创新性成果。

### 第三章 学士学位授予程序

**第九条** 满足第六条要求的学位申请人，可按照学校要求提交申请材料，申请学士学位。

**第十条** 申请学士学位，毕业论文或者毕业设计等相关材料应当通过学位评定分委员会审核和校学位评定委员会审定。

**第十一条** 学位评定分委员会负责审查毕业论文或者毕业设计等相关材料，作出是否建议授予学位的决议，报校学位评定委员会审定。

**第十二条** 校学位评定委员会根据学位评定分委员会的决议，在对学士学位申请进行审核的基础上，作出是否授予学士学位的决议。

### 第四章 硕士学位授予程序

**第十三条** 满足第七条要求的学位申请人，可按照学校要求提交申请材料，申请硕士学位。

**第十四条** 申请硕士学位，学位论文或者实践成果应当通过预审、专家评阅、答辩、学位评定分委员会审核和校学位评定委员会审定。

**第十五条** 预审小组负责审查学位论文或者实践成果是否满足本学科或专业的要求，预审通过后进行专家评阅。

**第十六条** 专家评阅负责审查学位论文或者实践成果的学术水平或专业水平是否达到学校规定要求，专家评阅通过后进入答辩程序。

**第十七条** 答辩委员会负责审查学位论文或者实践成果、组织答辩，就是否建议授予硕士学位进行表决并形成决议，报学位评定分委员会审核。

硕士学位答辩未通过者，经答辩委员会同意，可在一年内修改学位论文或者实践成果，在最长学位申请年限内，申请重新答辩一次。

**第十八条** 学位评定分委员会负责审查硕士学位论文或者实践成果及答辩委员会决议等相关材料，作出是否建议授予学位的决议，报校学位评定委员会审定。

**第十九条** 校学位评定委员会根据答辩委员会及学位评定分委员会的决议，在对硕士学位申请进行审核的基础上，作出是否授予硕士学位的决议。

## 第五章 博士学位授予程序

**第二十条** 满足第八条要求的学位申请人，可按照学校要求提交申请材料，申请博士学位。

**第二十一条** 申请博士学位，学位论文或者实践成果应当通过预答辩、专家评阅、答辩、学位评定分委员会审核和校学位评定委员会审定。

**第二十二条** 预答辩委员会负责审查学位论文或者实践成果、组织预答辩，就是否通过预答辩进行表决，通过后进行专家评阅。

**第二十三条** 专家评阅负责审查学位论文或者实践成果的学术水平或专业水平是否达到学校规定要求，专家评阅通过后进入答辩程序。

**第二十四条** 答辩委员会负责审查学位论文或者实践成果、组织答辩，就是否建议授予博士学位进行表决并形成决议，报学位评定分委员会审核。

博士学位答辩未通过者，经答辩委员会同意，可在两年内修改学位论文或者实践成果，在最长学位申请年限内，申请重新答辩一次。

答辩委员会认为学位申请人的博士学位论文或者实践成果虽未达到博士学位水平，但已达到硕士学位水平，且学位申请人尚未获得我校该学科、专业硕士学位的，经学位申请人同意，可以作出建议授予硕士学位的决议，报学位评定分委员会审核。

**第二十五条** 学位评定分委员会负责审查博士学位论文或者实践成果及答辩委员会决议等相关材料，作出是否建议授予学位的决议，并报校学位评定委员会审定。

**第二十六条** 校学位评定委员会根据答辩委员会及学位评定分委员会的决议，在对博士学位申请进行审核的基础上，作出是否授予博士学位的决议。

## 第六章 表决、决议及颁发证书

**第二十七条** 答辩委员会须全部委员到会方为有效。学位评定分委员会、校学位评定委员会会议须全体委员的三分之二以上到会方为有效。

**第二十八条** 答辩委员会、学位评定分委员会、校学位评定委员会以不记名投票方式对是否授予学位进行表决，并形成决议。答辩委员会决议须由全体委员的三分之二以上通过，学位评定分委员会、校学位评定委员会决议须由全体委员的过半数通过。

**第二十九条** 根据校学位评定委员会决议，学校公布授予学位的人员名单，颁发学位证书。

## 第七章 学位质量保障

**第三十条** 学位申请人答辩信息及学位授予相关信息应予以公布，供社会监督。

**第三十一条** 学位申请人、学位获得者在攻读该学位过程中有下列情形之一的，经校学

位评定委员会决议，可不授予学位或者撤销学位：

（一）学位论文或者实践成果被认定为存在代写、剽窃、伪造等学术不端行为；

（二）盗用、冒用他人身份，顶替他人取得的入学资格，或者以其他非法手段取得入学资格、毕业证书；

（三）攻读期间存在依法不应当授予学位的其他严重违法行为。

**第三十二条** 校学位评定委员会、学位评定分委员会拟作出不授予学位或者撤销学位决定的，应当告知学位申请人或者学位获得者拟作出决定的内容及事实、理由、依据，听取其陈述和申辩。

**第三十三条** 学位申请人对专家评阅、答辩、成果认定等过程中相关学术组织或者人员作出的学术评价结论有异议的，可以申请学术复核，作出复核决定时间应不超过三十日，复核决定为最终决定。

学位申请人或者学位获得者对不受理其学位申请、不授予其学位或撤销其学位等行为不服的，可以申请学位复核。做出复核决定时间应不超过三十日。

## 第八章 附 则

**第三十四条** 本办法由哈尔滨工业大学学位评定委员会负责解释。

**第三十五条** 本办法自 2025 年 1 月 1 日起施行。原《哈尔滨工业大学学位授予办法》（校学位〔2016〕5 号）同时废止。

# Measures for Degree Conferral at Harbin Institute of Technology

No. 322 [2024], HIT Graduate

(Originally adopted in January 2016, revised at the 22nd HIT Presidential Executive Council meeting in 2024 on December 23, 2024, and issued on December 27th, 2024)

## Chapter I General Provisions

**Article 1** These Measures are established to regulate the degree conferral process, protect the legitimate rights and interests of degree candidates, uphold the quality and integrity of degrees, and contribute to the cultivation of a new generation capable of advancing national rejuvenation. They are formulated in accordance with the “Academic Degree Law of the People’s Republic of China” and relevant guidelines from the State Council Academic Degrees Committee, taking into account the specific context and needs of HIT.

**Article 2** The university's degree conferral processes are guided by the leadership of the Communist Party of China, national education policies, and core socialist values. These processes prioritize the cultivation of both virtue and talent, adhere to educational laws, and uphold fairness, justice, and transparency. The university maintains a balance between academic freedom and standards, fosters innovation, and is dedicated to continuously improving the quality of independent talent development.

**Article 3** Undergraduate and graduate students enrolled at Harbin Institute of Technology, as well as individuals holding qualifications equivalent to a graduate degree, are eligible to apply for the corresponding degree, provided they meet the relevant academic, scholarly, or professional criteria outlined in this document.

**Article 4** The university confers degrees in three categories: bachelor's, master's, and doctoral degrees, including both academic and professional distinctions. These degrees are awarded based on specific disciplines, professional classifications, and other relevant criteria.

## Chapter II Conditions for Degree Conferral

**Article 5** Degree candidates must uphold the leadership of the Communist Party of China, support the socialist system, abide by the Constitution and laws of the People’s Republic of China, adhere to academic ethics and standards, and comply with the relevant rules and regulations of HIT.

**Article 6** For undergraduate degree candidates, they must successfully complete all required course assessments, earn the necessary credits, and pass the evaluations for their thesis or graduation project. To be eligible for a bachelor’s degree, candidates must demonstrate:

(I) A good understanding of foundational theories, specialized knowledge, and essential skills in their field of study.

(II) The ability to conduct basic academic research or participate in professional practice.

**Article 7** For master's degree candidates, they must pass all required course assessments, earn the necessary credits, complete academic research training or professional practice, and successfully defend their thesis/dissertation or practical work. To be eligible for a master's degree, candidates must demonstrate:

(I) A solid understanding of foundational theories and systematic, specialized knowledge in their field of study.

(II) Academic degree candidates should possess the ability to engage in academic research, while professional degree candidates should demonstrate the ability to participate in professional practice.

**Article 8** For doctoral degree candidates, they must pass all required course assessments, earn the necessary credits, complete academic research training or professional practice, and successfully defend their thesis/dissertation or practical work. To be eligible for a doctoral degree, candidates must demonstrate:

(I) A comprehensive understanding of foundational theories and systematic, in-depth knowledge in their field of study.

(II) Academic degree candidates must show the ability to conduct independent academic research, while professional degree candidates must demonstrate the ability to engage independently in professional practice.

(III) Academic degree candidates should have made original contributions to academic research, while professional degree candidates should have demonstrated innovative contributions in their respective fields of practice.

### **Chapter III Bachelor's Degree Conferral Process**

**Article 9** Candidates who have fulfilled the criteria specified in Article 6 may submit their application materials in accordance with the university's guidelines to apply for a bachelor's degree.

**Article 10** For the bachelor's degree application, the graduation thesis or project, along with other relevant materials, must undergo a review by the Academic Degree Evaluation Subcommittee and receive approval from the HIT Academic Degree Evaluation Committee.

**Article 11** The Academic Degree Evaluation Subcommittee is responsible for reviewing the graduation thesis, project, and other relevant materials, and for making a recommendation regarding the conferral of the degree. This recommendation will then be submitted to the HIT Academic Degree Evaluation Committee for approval.

**Article 12** The HIT Academic Degree Evaluation Committee will determine whether to award the bachelor's degree based on the subcommittee's resolution and a review of the degree application materials.

### **Chapter IV Master's Degree Conferral Process**

**Article 13** Candidates who fulfill the criteria specified in Article 7 may submit their application materials in accordance with the university's guidelines to apply for a master's degree.

**Article 14** To apply for a master's degree, the candidate's thesis or practical work must undergo the following steps: preliminary review, expert evaluation, defense, review by the Academic Degree Evaluation Subcommittee, and approval by the HIT Academic Degree Evaluation Committee.

**Article 15** The Preliminary Review Panel is responsible for evaluating whether the thesis or practical work meets the requirements of the relevant discipline or major. Once the preliminary review is successfully completed, the materials will be forwarded for expert evaluation.

**Article 16** The expert evaluation assesses whether the thesis or practical work meets the academic or professional standards set by the university. Upon successful completion of the expert evaluation, the application will proceed to the defense stage.

**Article 17** The Defense Committee is responsible for evaluating the thesis or practical work, organizing the defense, and voting on whether to recommend awarding the master's degree. The committee's resolution will be submitted to the Academic Degree Evaluation Subcommittee for further review.

If the defense is unsuccessful, the candidate may, with the approval of the Defense Committee, revise the thesis or practical work within one year. Within the maximum allowed duration for degree completion, the candidate may apply for another defense.

**Article 18** The Academic Degree Evaluation Subcommittee is responsible for reviewing the graduation thesis, practical work, resolution of the Defense Committee, and other relevant materials, and for making a recommendation regarding the conferral of the degree. This recommendation will then be submitted to the HIT Academic Degree Evaluation Committee for approval.

**Article 19** The HIT Academic Degree Evaluation Committee will decide whether to award the master's degree based on the resolutions from the Academic Degree Evaluation Subcommittee and the Defense Committee, along with a review of the degree application materials.

## **Chapter V Doctoral Degree Conferral Process**

**Article 20** Candidates who have fulfilled the criteria specified in Article 8 may submit their application materials in accordance with the university's guidelines to apply for a doctoral degree.

**Article 21** To apply for a doctoral degree, the candidate's dissertation or practical work must undergo the following steps: pre-defense, expert evaluation, defense, review by the Academic Degree Evaluation Subcommittee, and approval by the HIT Academic Degree Evaluation Committee.

**Article 22** The Pre-defense Committee is responsible for reviewing the dissertation or practical work, organizing the pre-defense, and voting on whether the work meets the required standards to

pass. If successful, the work will proceed to expert evaluation.

**Article 23** The expert evaluation assesses whether the dissertation or practical work meets the academic or professional standards set by the university. Upon successful completion of the expert evaluation, the application will proceed to the defense stage.

**Article 24** The Defense Committee is responsible for evaluating the dissertation or practical work, organizing the defense, and voting on whether to recommend awarding the doctoral degree. The committee's resolution will be submitted to the Academic Degree Evaluation Subcommittee for further review.

If the defense is unsuccessful, the candidate may, with the approval of the Defense Committee, revise the thesis or practical work within two years. Within the maximum allowed duration for degree completion, the candidate may apply for another defense.

If the defense committee determines that the candidate's dissertation or practical work does not fulfill the requirements for a doctoral degree but meets the standard of a master's degree, and the candidate has not yet earned a master's degree in the relevant discipline or major from our university, they may, with the candidate's consent, recommend awarding a master's degree. This recommendation will then be submitted to Academic Degree Evaluation Subcommittee for review.

**Article 25** The Academic Degree Evaluation Subcommittee is responsible for reviewing the dissertation, practical work, resolution of the Defense Committee, and other relevant materials, and for making a recommendation regarding the conferral of the degree. This recommendation will then be submitted to the HIT Academic Degree Evaluation Committee for approval.

**Article 26** The HIT Academic Degree Evaluation Committee will decide whether to award the doctoral degree based on the resolutions from the Academic Degree Evaluation Subcommittee and the Defense Committee, along with a review of the degree application materials.

## **Chapter VI Voting, Resolutions, and Certificate Issuance**

**Article 27** A meeting of the Defense Committee is valid only when all members are present. Meetings of the Academic Degree Evaluation Subcommittee and the HIT Academic Degree Evaluation Committee are valid when at least two-thirds of the members are in attendance.

**Article 28** The Defense Committee, Academic Degree Evaluation Subcommittee, and HIT Academic Degree Evaluation Committee shall vote anonymously to decide on the conferral of the degree and make a corresponding resolution. A resolution of the Defense Committee requires approval from more than two-thirds of the total members. Resolutions of the Academic Degree Evaluation Subcommittee and HIT Academic Degree Evaluation Committee are valid when passed by a majority of the members present at the meeting.

**Article 29** Based on the resolution of the HIT Academic Degree Evaluation Committee, the university will publicly announce the list of individuals recommended for degree conferral and issue

the degree certificates.

## **Chapter VII Degree Quality Assurance**

**Article 30** Information regarding the candidate's defense and degree conferral must be made publicly available to ensure transparency.

**Article 31** The HIT Academic Degree Evaluation Committee may, through resolution, decide not to award a degree or to revoke a degree already conferred in the following circumstances:

(I) The thesis, dissertation, or practical work of the degree candidate is found to involve academic misconduct, including but not limited to ghostwriting, plagiarism, falsification, or other unethical practices.

(II) The candidate has fraudulently used someone else's identity, substituted another individual to obtain admission qualifications, or has obtained admission qualifications or graduation certificates through illegal means.

(III) The candidate has been involved in serious illegal activities during their studies, which disqualify them from being awarded the degree.

**Article 32** If the HIT Academic Degree Evaluation Committee or the Academic Degree Evaluation Subcommittee intends to deny the conferral of a degree or revoke an already conferred degree, the degree candidate or holder must be notified in writing. The notification must clearly explain the facts, reasons, and legal grounds for the proposed decision. The candidate will have an opportunity to present their defense or challenge the decision before a final decision is made.

**Article 30** If a degree candidate disagrees with the academic evaluation results provided by the relevant academic bodies or personnel during expert evaluation, defense, or work assessment, they may request an academic reassessment. The reassessment results must be provided within thirty days and will be final.

If the degree candidate or holder disagrees with the denial of their degree application, the refusal to confer their degree, or the revocation of their degree, they may apply for a degree reassessment. The reassessment result must be issued within thirty days.

## **Chapter VIII Supplementary Provisions**

**Article 34** The Academic Degree Evaluation Committee of Harbin Institute of Technology is responsible for interpreting these Measures.

**Article 35** These Measures shall be effective as of January 1, 2025. The previous "Measures for Degree Conferral at Harbin Institute of Technology" (No. 5 [2016], HIT Academic Degree Evaluation Committee) are hereby rendered invalid.



# 哈尔滨工业大学学士学位授予实施细则

哈工大本[2025]59号

## 第一章 总 则

**第一条** 为规范学士学位授予工作，保护学士学位申请人的合法权益，提高学士学位授予质量，根据《中华人民共和国学位法》，按照《哈尔滨工业大学学位授予办法》（哈工大研〔2024〕322号），结合学校实际制定本细则。

**第二条** 学校学士学位授予工作坚持中国共产党的领导，全面贯彻国家的教育方针，践行社会主义核心价值观，落实立德树人根本任务，遵循教育规律，坚持公平、公正、公开，保证学位质量，促进创新发展。

**第三条** 具有哈尔滨工业大学学籍的本科生按照本细则规定申请学士学位。

**第四条** 学校按照教育部批准或备案设置专业时规定的学科门类、专业学位类别等授予学士学位。

## 第二章 学士学位授予条件

**第五条** 在学校规定的最长学习年限内，符合下列条件者，经校学位评定委员会审核通过，授予学士学位：

（一）拥护中国共产党的领导，拥护社会主义制度，遵守宪法和法律，品行端正，遵守学术道德和学术规范，遵守学校相关规章制度。

（二）通过培养方案规定的全部课程考核，通过毕业环节审查，较好地掌握本学科或专业的基础理论、专门知识和基本技能，并具有从事学术研究或承担专业实践工作的初步能力。

## 第三章 学士学位授予程序

**第六条** 学位申请人在完成下列环节后可向所在学院、学部、校区（以下统称学院）提出授予学士学位申请：

（一）通过培养方案规定的全部课程考核。

（二）通过毕业论文（设计）开题、中期检查、结题验收和毕业答辩。

**第七条** 学位申请人所在学院审核申请人的修读课程及成绩、毕业论文（设计）等相关材料。符合本细则第五条的，列入拟授予学士学位审查名单，报学位评定分委员会审查。

**第八条** 学位评定分委员会审查申请人毕业论文（设计）等相关材料，作出是否建议授予学士学位的决议，形成建议授予学士学位名单并报本科生院复核。

**第九条** 本科生院对各学位评定分委员会上报的建议授予学士学位名单进行复核，并将复核通过后的建议授予学士学位名单报校学位评定委员会审定。

**第十条** 校学位评定委员会对学士学位申请进行审核，并作出是否授予学士学位的决议。

**第十一条** 学校公布授予学士学位的人员名单，颁发学士学位证书。证书自校学位评定委员会作出授予学位决议之日起生效。

#### **第四章 学士学位质量保障**

**第十二条** 本科生院在校学位评定委员会作出授予学位决议之日起7日内，将学士学位授予信息报送“学位授予信息管理平台”，供社会监督、查询。

**第十三条** 学位申请人、学位获得者在攻读学位过程中有下列情形之一的，经校学位评定委员会决议，不授予学位或者撤销学位：

（一）毕业论文（设计）被认定为存在代写、剽窃、伪造等学术不端行为。

（二）盗用、冒用他人身份，顶替他人取得入学资格，或者以其他非法手段取得入学资格、毕业证书。

（三）攻读学位期间存在依法不应当授予学位的其他严重违法行为。

**第十四条** 学位评定分委员会拟作出不建议授予学士学位，或校学位评定委员会拟作出不授予学士学位或者撤销学士学位决定的，应在作出决定前以书面形式告知学位申请人或者学位获得者拟作出决定的内容及事实、理由、依据。学位申请人或者学位获得者可以书面形式向所在学院提出陈述和申辩。

**第十五条** 学位申请人或者学位获得者对不授予其学位或者撤销其学位等决定有异议的，可按照《哈尔滨工业大学学生申诉处理办法》（哈工大学（2023）5号）进行申诉。

#### **第五章 附 则**

**第十六条** 本细则由本科生院负责解释。参加我校联合学士学位项目但不具有我校学籍的联合培养学生，学位证书由其学籍所在单位按要求颁发。满足本细则第五条要求的，经项目所在学科学位评定分委员会和校学位评定委员会依次审定后，其学位证书上可注明“哈尔滨工业大学”为其联合培养单位。

**第十七条** 本细则自发布之日起施行。原《哈尔滨工业大学学士学位授予管理办法》（哈工大本（2018）142号）、《哈尔滨工业大学第二学士学位授予管理办法》（哈工大本（2022）157号）同时废止。

# **Rules for Bachelor's Degree Conferral at Harbin Institute of Technology**

No. 59 [2052], HIT Undergraduat

## **Chapter I General Provisions**

**Article 1** These Rules are established to standardize the conferral of bachelor's degrees, protect the rights and interests of bachelor's degree candidates, and ensure a high standard in the degree conferral process. They are formulated in accordance with the "Academic Degree Law of the People's Republic of China" and the "Measures for Degree Conferral at Harbin Institute of Technology", and are tailored to the specific context of Harbin Institute of Technology (HIT).

**Article 2** The university's bachelor's degree conferral processes are guided by the leadership of the Communist Party of China, national education policies, and core socialist values. These processes prioritize the cultivation of both virtue and talent, adhere to educational laws, and uphold principles of fairness, justice, and transparency. The university ensures a high standard in its degree conferral process and actively fosters innovation.

**Article 3** These Rules apply to the undergraduate students enrolled at Harbin Institute of Technology.

**Article 4** The university confers bachelor's degrees based on academic disciplines, professional degree categories, and other criteria approved or registered by the Ministry of Education during program establishment.

## **Chapter II Conditions for Bachelor's Degree Conferral**

**Article 5** Within the university's prescribed maximum duration of study, individuals who meet the following conditions may be awarded a bachelor's degree, subject to review and approval by the HIT Academic Degree Evaluation Committee:

- (I) Uphold the leadership of the Communist Party of China, support the socialist system, abide by the Constitution and laws of the People's Republic of China, demonstrate good character, adhere to academic ethics and standards, and comply with the relevant rules and regulations of the university.
- (II) Successfully complete all required course assessments, pass the graduation evaluations, acquire a solid understanding of the fundamental theories, specialized knowledge, and essential skills in their discipline or major, and demonstrate competence in academic research or professional practice.

## **Chapter III Bachelor's Degree Conferral Process**

**Article 6** Upon meeting the following requirements, degree candidates may submit a bachelor's

degree application to their respective school or campus (hereinafter collectively referred to as “schools”):

(I) Successful completion of all course assessments required.

(II) Completion of all stages of the thesis or graduation project, including thesis/project proposal, mid-term evaluation, final evaluation, and defense.

**Article 7** The schools shall review their candidates’ courses completed, grades, thesis or graduation project, and other relevant materials. Those who meet the conditions outlined in Article 5 of these Rules shall be included in the preliminary list for degree conferral review and submitted to the subcommittees of the HIT Academic Degree Evaluation Committee for evaluation.

**Article 8** The subcommittees shall evaluate the candidates’ thesis or graduation project and other relevant materials, determine whether to recommend the conferral of the bachelor’s degree, and submit the lists of recommended candidates to the Undergraduate College for verification.

**Article 9** The Undergraduate College shall verify the lists of recommended candidates submitted by the subcommittees and submit the verified lists to the HIT Academic Degree Evaluation Committee for final review.

**Article 10** The HIT Academic Degree Evaluation Committee shall review the bachelor’s degree applications and make the final resolution for degree conferral.

**Article 11** The university shall publish the list of individuals granted bachelor's degrees and issue the corresponding degree certificates. The certificates shall take effect on the date the HIT Academic Degree Evaluation Committee passes the resolution for degree conferral.

#### **Chapter IV Quality Assurance for Bachelor’s Degrees**

**Article 12** Within seven days of the HIT Academic Degree Evaluation Committee’s resolution to confer a degree, the Undergraduate College shall submit the degree conferral information to the Degree Conferral Information Management Platform for public supervision and inquiry.

**Article 13** The HIT Academic Degree Evaluation Committee may decide to withhold or revoke the degree if a degree candidate or holder is found to have committed any of the following violations:

(I) Academic misconduct related to the thesis or graduation project, including ghostwriting, plagiarism, or fabrication.

(II) Identity fraud, such as impersonation, using another person’s identity to gain admission, or obtaining admission or academic credentials through unlawful means.

(III) Other serious violations that disqualify the individual from receiving a degree during their course of study.

**Article 14** If a subcommittee of the HIT Academic Degree Evaluation Committee decides not to recommend the conferral of a bachelor’s degree, or if the HIT Academic Degree Evaluation Committee intends to withhold or revoke a degree, they must notify the degree candidate or holder

in writing prior to the decision. The notice shall include the proposed decision, supporting facts, reasons, and legal or policy basis. The degree candidate or holder has the right to submit a written statement or defense to their respective school.

**Article 15** If a degree candidate or holder disagrees with the decision to withhold or revoke the degree, they may file an appeal in accordance with the “Measures for Handling Student Appeals of Harbin Institute of Technology” (No. 5 [2023], HIT Students).

## **Chapter V Supplementary Provisions**

**Article 16** The Undergraduate College is responsible for the interpretation of these Rules. For students enrolled in joint bachelor’s degree programs who do not hold official student status at Harbin Institute of Technology, the degree certificate shall be issued by the institution where they are officially registered as students, in accordance with relevant regulations. However, if such students meet the requirements specified in Article 5 of these Rules, and receive approval from both the relevant degree evaluation subcommittee and the HIT Academic Degree Evaluation Committee, their degree certificate may indicate Harbin Institute of Technology as a joint training institution.

**Article 17** These Rules shall be effective as of the date of issuance. The previous “Measures for Bachelor’s Degree Conferral at Harbin Institute of Technology” (No. 142 [2018], HIT Undergraduate) and “Measures for Conferral of Second Bachelor’s Degrees at Harbin Institute of Technology” (No. 157 [2022], HIT Undergraduate) are hereby repealed.

# 哈尔滨工业大学硕博学位授予工作实施细则

校学位〔2024〕76号

（哈尔滨工业大学学位评定委员会第191次会议审核通过）

## 第一章 总 则

**第一条** 为了规范学位授予工作，保护学位申请人的合法权益，保障学位质量，根据《中华人民共和国学位法》《哈尔滨工业大学学位授予办法》及国务院学位委员会有关文件，结合我校实际情况，制定本细则。

**第二条** 在我校接受教育的硕士、博士学位申请人，依照本细则申请学位。

## 第二章 硕士学位授予程序

**第三条** 申请硕士学位，学位论文或者实践成果应当通过预审、专家评阅、答辩、学位评定分委员会审核和校学位评定委员会审定。

**第四条** 硕士学位申请人在申请硕士学位前应完成以下工作：

（一）培养计划中规定的全部课程，并通过课程考核，修满相应学分。完成全部培养环节并通过；

（二）与硕士学位论文或者实践成果有关的学术研究工作或者专业实践工作；

（三）学术学位申请人须撰写学位论文，专业学位申请人须完成学位论文或者实践成果。实践成果可以采取专题研究类论文、调研报告、案例分析报告、产品设计/作品创作、方案设计等形式；

（四）满足所在学科、专业攻读学位期间取得成果要求。

**第五条** 硕士学位论文或者实践成果预审

（一）硕士学位论文或者实践成果完成并通过导师审核后，分委员会需组织三至五位专家进行预审。学术学位与专业学位需分类进行。如所申请学位为专业学位，则至少应有一位行业专家参与预审。

（二）预审需审查硕士学位论文或者实践成果是否满足本学科或专业的要求。

（三）学位申请人应根据预审提出的意见对学位论文或者实践成果进行修改和完善，经导师审核通过后可进行专家评阅。

**第六条** 硕士学位论文或者实践成果专家评阅

学位申请人通过预审后，应在正式答辩前十五天向分委员会提出申请，经分委员会审核符合专家评阅要求可进行学位论文或者实践成果专家评阅。具体依照《哈尔滨工业大学硕士学位论文或者实践成果专家评阅实施细则》进行。

## 第七条 硕士学位论文或者实践成果答辩

### （一）提前答辩申请

硕士学位申请人一般不能申请提前答辩。对少数学业优异、科研能力强，满足《哈尔滨工业大学硕士研究生在攻读学位期间取得成果要求规定》中提前答辩要求的，经导师同意，分委员会审核通过后，可以申请提前答辩。

提前答辩办理办法：由硕士学位申请人提出申请，经导师同意后，由分委员会指定两位专家对论文进行评审，根据评审结果决定是否同意其提前答辩并上报学位办备案。

### （二）答辩申请审核

答辩委员会秘书应于答辩一周前将硕士学位答辩审核材料送交分委员会审批。材料包括：

1. 《预审情况表》、《答辩申请书》、《答辩资格审查表》、《答辩成员审批表》、《评阅意见表》及《评阅意见修改报告》；

2. 经专家评阅通过的硕士学位论文或者实践成果；

3. 硕士研究生课程成绩单；

4. 如攻读学位期间取得成果，需提供证明材料。

分委员会应重点审核硕士学位论文或者实践成果的工作量、结论、成果水平及学术规范。

### （三）答辩委员会组成

学位申请人所在学科、专业组织答辩委员会，并需经过分委员会审核通过。如审核批准后的答辩委员会中有成员更换，需告知分委员会并重新履行答辩成员审批手续。答辩委员会组成应满足以下要求：

1. 答辩委员会委员应由五位硕士生导师、高级专业技术职称（或相当水平）的专家担任。委员需为本学科、专业或相关学科、专业专家。专业学位答辩委员会委员中应不少于一位行业专家。学科交叉答辩委员会委员应包含所有相关学科、专业的专家；

2. 分委员会根据学科或专业情况，指定委员中一位学术或专业造诣深、责任心强、坚持原则的硕士生导师担任答辩委员会主席；

3. 导师、副导师或导师组成员只能有一人作为委员，且不能作为答辩委员会主席或答辩秘书；

4. 对具有研究生毕业同等学力申请硕士学位人员，申请人的导师、副导师、导师组成员、推荐人不能作为答辩委员会成员；

5. 聘任答辩秘书一名，应为我校在岗教师，秘书不能作为委员。

### （四）答辩程序

答辩秘书应将学位论文或者实践成果在答辩一周前送答辩委员会委员审阅，并将答辩信息进行公示。答辩委员会组成人员应当独立负责地履行职责。

学术学位与专业学位答辩应分类、公开进行，学位申请人应正装出席会议。每位硕士生的答辩会一般以三十至四十分钟为宜，答辩应有详细的记录，按照如下程序组织答辩。

1. 答辩秘书宣布学位申请人姓名、学科或者专业、学位论文或者实践成果题目、学习成绩，介绍学位申请人简历、答辩委员会委员情况。

2. 答辩委员会主席主持答辩：

（1）学位申请人报告学位论文或者实践成果主要内容（二十至三十分钟）；

（2）介绍对评阅意见修改情况；

（3）答辩委员会审议学位申请人对评阅意见的答复及修改情况；

（4）答辩委员会委员提问，申请人回答问题，提问时间不少于十分钟；

（5）答辩委员会不仅要考察学位申请人答辩及选题研究或实践过程中存在的问题，还要全面考察学位论文或者实践成果的内容、结构安排合理性及学术规范等。

3. 休会，答辩委员会评议并形成决议：

（1）答辩委员会评议学位论文或者实践成果是否达到所在学科、专业要求的学术水平或专业水平，成果及结论是否成立，结构安排是否合理，并指出存在的主要问题；

（2）答辩委员会应以无记名投票方式，决定答辩是否通过、是否建议授予其硕士学位，在答辩委员会成员三分之二以上同意时可作出通过答辩、建议授予硕士学位的决议；

（3）答辩委员会在决议中，应客观概述硕士学位论文或者实践成果的创新性工作，并予以公正评价；

（4）答辩未通过者，经答辩委员会同意，可在一年且不超出最长学位申请年限内修改学位论文或者实践成果，申请重新答辩一次；

（5）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. 学位申请人表态，陈述对答辩委员会决议的意见。

6. 答辩委员会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。

#### **第八条 学位评定委员会审核**

学位申请人原则上应在答辩通过后一年内向分委员会提交学位申请材料，进行硕士学位审核，逾期不再受理。学术学位与专业学位的审核与决议应分类进行。

各级学位评定委员会作出决议，应当以会议的方式进行。会议应当有全体组成人员的三分之二以上出席。决议事项以投票方式表决，由全体组成人员的过半数通过。

##### **（一）分委员会审核**

分委员会审核学位申请人的硕士学位论文或者实践成果及有关材料，审核针对答辩委员会提出存在问题的修改情况，确认攻读硕士学位期间取得成果满足学科、专业要求。根据答辩委员会的决议，分委员会就是否建议授予硕士学位进行表决、形成决议并报送校学位评定委员会审核。经分委员会审核，对未予投票学位论文或者实践成果可作出修改后申请下次学位评定分委员会审核的决议。



通过分委员会审核的学位申请人，须根据分委员会的修改建议认真修改硕士学位论文或者实践成果并撰写修改说明。修改后的硕士学位论文或者实践成果经分委员会指定专家确认修改完成并签字。

## （二）校学位评定委员会审核

学位申请人学位论文或实践成果须在答辩通过后一年内提交校学位评定委员会审核。校学位评定委员会根据分委员会的决议，在对学位申请进行审核的基础上，作出是否授予硕士学位的决议。

经校学位评定委员会审核未投票表决的硕士学位论文或者实践成果，原则上应在一年内完成修改并重新提交校学位评定委员会审核。如校学位评定委员会未投票次数达到两次则不再受理其学位申请。

学位申请人对校学位评定委员会提出的学位论文或者实践成果存在问题的修改情况，由导师及分委员会审核通过后发放学位证书。

# 第三章 博士学位授予程序

**第九条** 申请博士学位，学位论文或者实践成果应当通过预答辩、专家评阅、答辩、学位评定分委员会审核和校学位评定委员会审定。

**第十条** 博士学位申请人在申请博士学位前应完成以下工作：

（一）培养计划中规定的全部课程，并通过课程考核，修满相应学分。完成全部培养环节并通过；

（二）与博士学位论文或者实践成果有关的学术研究工作或者专业实践工作；

（三）学术学位申请人须撰写博士学位论文；专业学位申请人，除可撰写博士学位论文以外，可根据自己参与的课题性质以及实践工作情况撰写实践成果。实践成果内容可以为重大装备、仪器设备、其他硬件产品、软件产品、设计方案、技术标准等；

（四）满足分委员会对创新性成果的要求或博士学位论文、实践成果的创新性要求。

**第十一条** 博士学位论文或者实践成果预答辩

（一）博士学位论文或者实践成果完成后，通过导师审核，由分委员会组织至少二位专家对博士学位论文或者实践成果进行预审，如所申请学位为专业学位，则应有一位行业专家预审，确认博士学位论文或者实践成果满足本学科或专业的要求后可进行预答辩。

（二）预答辩由所在学科或专业负责人根据学位申请人的研究方向、博士学位论文或者实践成果内容进行组织。预答辩与正式答辩程序相同。

（三）预答辩委员会委员应为五至七人，由本学科、专业及相关学科、专业的博士生导师、教授或具有高级专业技术职称的行业专家担任，指定其中一人为预答辩委员会主席；专业学位预答辩委员会应至少包含一位相关领域行业专家；额外聘请一位预答辩委员会秘书。经分委员会批准，组成预答辩委员会。

（四）预答辩委员会委员应对博士学位论文或者实践成果的工作量、创新性成果等进行审核，详细指出存在的不足和问题，提出改进意见。

（五）预答辩委员会采取评议的方法作出通过预答辩、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作出决议。预答辩委员会应将决议意见填入《预答辩情况表》。

（六）学位申请人应根据预答辩委员会提出的意见对博士学位论文或者实践成果进行修改和完善。如预答辩通过，修改经导师审核通过后，可进行专家评阅。如预答辩未通过，修改经导师及学科审核通过后，再次进行预答辩。

## **第十二条 博士学位论文或者实践成果的专家评阅**

（一）博士学位论文或者实践成果预答辩通过后，进行专家评阅。专业学位论文或者实践成果应有行业专家参与评阅，具体评阅方式由各分委员会制定并负责组织执行。

（二）涉密博士学位论文或者实践成果为纸质版评阅，各分委员会应选择校保密委员会认定具有保密资质的高校、科研院所或者企业进行评阅。

（三）博士研究生应在拟答辩日期前四十五天完成博士学位论文或者实践成果专家评阅申请，提请各分委员会审核和组织专家评阅。

（四）博士学位论文或者实践成果的专家评阅及对评阅意见的处理办法见《博士学位论文或者实践成果专家评阅实施办法》。

（五）答辩委员会秘书整理评阅意见汇总材料，汇总材料的内容包括：

1. 对博士学位论文或者实践成果选题的评价；
2. 对博士学位论文或者实践成果的创新性的评价；
3. 对博士学位论文或者实践成果的总体评价；
4. 博士学位论文或者实践成果中存在的问题、不足及建议。
5. 如有增聘评阅专家时，需将其评阅意见一并汇总。

学位申请人对评阅专家提出的问题及不足须逐条给予明确答复，如果认可评阅意见，须认真修改完善博士学位论文或者实践成果，答复时须明确说明修改补充的内容，并指出修改的相应页码；如不认可评阅意见，要详细解释理由，并提供相关的支撑数据或文献。

汇总材料应有导师审核意见，且必须经分委员会主席审核并签字同意。

## **第十三条 博士学位论文或者实践成果答辩**

博士研究生应在预答辩通过一年内申请博士学位论文或者实践成果答辩，如超过一年需重新进行预答辩。博士学位论文或者实践成果答辩应线下公开答辩。涉密论文按保密要求进行线下答辩。

（一）答辩申请审核

答辩委员会秘书应于答辩一周前将博士学位答辩审核材料送交分委员会审批。材料包含：

1. 《预答辩情况表》、《答辩申请书》、《答辩资格审查表》、《答辩成员审批表》、《评阅意见表》及《评阅意见汇总材料》；

2. 经预答辩和专家评阅通过的博士学位论文或者实践成果；

3. 博士研究生课程成绩单；

4. 攻读博士学位期间取得主要创新性成果证明材料。

分委员会应重点审核博士学位论文或者实践成果的创新性、创新水平、结论及学术规范，攻读博士学位期间取得的创新性成果

## （二）答辩委员会组成

学位申请人所在学科、专业组织答辩委员会，需经过分委员会审核通过。如审核批准后的答辩委员会中有成员更换，需告知分委员会并重新履行答辩成员审批手续。答辩委员会组成应满足以下要求：

1. 答辩委员会委员应由七位博士生导师或正高级专业技术职称（或相当水平）的专家担任。委员需为本学科、专业或相关学科、专业专家。博士生导师应不少于五人，答辩委员会应有二位校外专家，专业学位博士论文或者实践成果答辩应至少有一位相关领域行业专家，学科交叉答辩委员会委员应包含所有相关学科、专业的专家；

2. 分委员会根据学位申请人博士学位论文或者实践成果的研究方向，在委员中指定一位该领域科研或实践造诣深、责任心强、坚持原则的博士生导师担任答辩委员会主席；

3. 原则上应有学位申请人所在分委员会委员任答辩委员会委员；

4. 至少二位委员为预答辩委员会委员；

5. 导师、副导师或导师组成员只能有一人作为委员，且不能作为答辩委员会主席或答辩秘书；

6. 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、副导师、导师组成员、推荐人不能作为答辩委员会成员；

7. 聘任答辩秘书一名，秘书不能作为委员。

## （三）答辩程序

答辩秘书应于答辩一周前将博士学位论文或者实践成果送交答辩委员会委员，并将答辩信息进行公示，公示期不少于三个工作日。

答辩应公开进行，学位申请人应正装出席会议。每位学位申请人的答辩一般以二至三小时为宜。答辩应有详细的原始答辩记录，按照如下程序组织答辩。

1. 答辩秘书宣布学位申请人姓名、学科或专业、博士学位论文或者实践成果题目、学习成绩，介绍学位申请人简历、博士学位论文或者实践成果工作情况及取得创新性成果；宣读答辩委员会组成名单并逐一介绍。

2. 答辩委员会主席主持学位答辩：

（1）学位申请人报告博士学位论文或者实践成果主要内容（四十至五十分钟）；

（2）秘书宣读博士学位论文或者实践成果评阅意见及学位申请人答复意见；

（3）答辩委员会审议学位申请人对评阅意见的答复及修改情况；

（4）答辩委员会委员提问，学位申请人回答问题；

(5) 答辩委员会不仅要考察学位申请人答辩及课题研究过程中出现的问题，还要全面考察博士学位论文或者实践成果的创新性、内容及结构安排合理性及学术规范等。

3. 休会，答辩委员会评议并形成决议：

(1) 评议博士学位论文或者实践成果是否达到学科或专业所要求的学术水平或专业水平，创新性成果是否成立，结构安排是否合理，指出存在的主要问题；

(2) 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作出通过答辩、建议授予博士学位的决议；

(3) 答辩委员会在决议中，应客观概述博士学位论文或者实践成果的创新性工作，并予以公正评价；

(4) 答辩未通过者，经答辩委员会同意，可在二年内且在最长学位申请年限内修改，申请重新答辩一次；

(5) 答辩委员会认为申请人的博士学位论文或者实践成果虽未达到博士学位水平，但已达到硕士学位水平，且学位申请人尚未获得我校该学科、专业硕士学位的，经学位申请人同意，可以作出建议授予硕士学位的决议，报送学位评定委员会审定；

(6) 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. 学位申请人表态，陈述对答辩委员会决议的意见。

6. 答辩委员会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。

**第十四条 博士学位论文或者实践成果公示**

(一) 博士学位论文或者实践成果公示期原则上自博士学位论文或者实践成果预答辩通过之日起计算，至校学位评定委员会审核授予学位时止，时间不得短于一个月。

(二) 博士学位论文或者实践成果公示期间，学位申请人公示其博士学位论文或者实践成果的相关信息，接受并回复有关人员提出的问题。

(三) 博士学位论文或者实践成果公示期间，校学位办同时接受并处理有关人员提出的问题。

**第十五条 学位评定委员会审核**

学位申请人原则上应在答辩通过后一年内向分委员会提交学位申请材料，进行博士学位审核，逾期不再受理。学术学位与专业学位的审核与决议应分类进行。

各级学位评定委员会作出决议，应以会议的方式进行。会议应有全体组成人员的三分之二以上出席。决议事项以投票方式表决，由全体组成人员的过半数通过。

(一) 分委员会审核

分委员会审核学位申请人的博士学位论文或者实践成果及有关材料，审核针对答辩委员会提出存在问题的修改情况，确认学位申请人在攻读博士学位期间取得创新性成果满足学科、专业要求。根据答辩委员会的决议，分委员会就是否建议授予博士学位进行表决形成决议并

报送校学位评定委员会审核。经分委员会审核，对未予投票的学位论文或者实践成果可作出修改后申请下次学位评定分委员会审核的决议。

通过分委员会审核的学位申请人，须根据分委员会的修改建议认真修改博士学位论文或者实践成果并撰写修改说明。修改后的博士学位论文或者实践成果经分委员会指定专家确认修改完成并签字。

#### **（二）校学位评定委员会审核**

学位申请人学位论文或实践成果须在答辩通过后一年内提交校学位评定委员会审核。校学位评定委员会根据分委员会的决议，对博士学位申请进行审核，重点审核分委员会不建议授予学位的、校专家组审核建议不投票的及其它特殊情况的分委员会上报的学位申请人材料。并作出是否授予博士学位的决议。

经校学位评定委员会审核未投票表决的博士学位论文或者实践成果，原则上应在一年内完成修改并重新提交校学位评定委员会审核。如校学位评定委员会未投票次数达到两次则不再受理其学位申请。

### **第四章 学术复核与学位复核**

**第十六条** 学位申请人对专家评阅、答辩、成果认定等过程中作出的学术评价结论有异议的，应在接到相关结论之日起三十日内向分委员会申请学术复核。分委员会应在受理复核申请之日起三十日内组织专家进行复核，复核应听取学位申请人的陈述、申辩，并作出复核决定，复核决定为最终决定，并告知学位申请人。

**第十七条** 学位申请人或者学位获得者对各级学位评定委员会作出不受理其学位申请、不授予其学位或撤销其学位等行为不服的，可在三十日内向学校申请复核。学校应在自受理学位复核申请之日起三十日内进行复核，复核应听取学位申请人或者学位获得者的陈述、申辩，并作出复核决定，且将复核决定告知学位申请人或者学位获得者。

### **第五章 附 则**

**第十八条** 博士学位论文或者实践成果应包含评阅人、答辩委员会委员及答辩决议相关信息。实践成果应包含行业专家对其创新性或者实用性认定的信息。

**第十九条** 经校学位评定委员会审核，决定授予硕士、博士学位后，名单在哈尔滨工业大学研究生院网站公布，并颁发学位证书。若有异议，异议人可以书面形式实名提交至分委员会，分委员会将核实后情况及处理意见上报校学位评定委员会，学校将依据事实予以处理。

**第二十条** 分委员会负责将学位申请人的申请材料 and 学位论文或者实践成果等档案资料交由档案馆及图书馆保存，博士学位论文或者实践成果同时交存国家图书馆和有关专业图书馆。

涉密博士学位论文或者实践成果依照保密法律、行政法规和国家有关保密规定进行归档。

**第二十一条** 在我校申请学位的境外个人，依照本办法规定的学业要求、学术水平或者专业水平等条件和相关程序授予相应学位。

**第二十二条** 各类校企联合培养专项的学位申请人，申请程序依照专项要求执行。

**第二十三条** 本细则解释权在校学位评定委员会办公室。

**第二十四条** 本细则自 2025 年 1 月 1 日起施行。其他规定与本细则不一致的，以本细则为准。

# **Rules for Conferral of Master's and Doctoral Degrees of Harbin Institute of Technology**

No. 76 [2024], HIT Academic Degree Evaluation Committee

(Approved at the 19th meeting of the Academic Degree Evaluation Committee of Harbin Institute of Technology)

## **Chapter I General Provisions**

**Article 1** To standardize the degree conferral process, protect the rights and interests of degree candidates, and ensure the quality of degrees, these Rules have been formulated in accordance with the “Academic Degree Law of the People’s Republic of China”, the “Measures for Degree Conferral of Harbin Institute of Technology”, and relevant directives from the State Council Academic Degrees Committee, while taking into account the HIT's specific circumstances.

**Article 2** These Rules apply to all master’s and doctoral degree candidates enrolled at our university.

## **Chapter II Master’s Degree Conferral Process**

**Article 3** To apply for a master’s degree, the candidate's thesis or practical work must undergo the following steps: preliminary review, expert evaluation, defense, review by the degree evaluation subcommittee, and final approval by the HIT Academic Degree Evaluation Committee.

**Article 4** Before applying for a master’s degree, the candidate must fulfill the following requirements:

- (I) Complete all courses outlined in the training plan, pass the course assessments, and earn the required credits. Complete all training components and successfully pass the corresponding assessments.
- (II) Engage in academic research or professional practice relevant to the master’s thesis or practical work.
- (III) Academic degree candidates must complete a thesis, while professional degree candidates may submit either a thesis or practical work. Practical work may include specialized research papers, survey reports, case analysis reports, product designs/creative works, or solution designs.
- (IV) Meet the achievement requirements for their discipline or major during the degree program.

**Article 5** Preliminary Review of Master’s Thesis or Practical Work

- (I) Upon completion of the master’s thesis or practical work and approval by the supervisor, the subcommittee will organize a preliminary review with a panel of three to five experts. Academic and professional degree candidates will undergo separate review processes. For professional degree candidates, the review panel must include at least one industry expert.
- (II) The preliminary review will evaluate whether the thesis or practical work meets the standards of the relevant discipline or major.

(III) Based on the feedback provided during the preliminary review, the degree candidate must revise the thesis or practical work. After the supervisor approves the revisions, the work may proceed to expert evaluation.

#### **Article 6 Expert Evaluation of Master's Thesis or Practical Work**

After successfully passing the preliminary review, degree candidates must submit their application to the subcommittee no later than 15 days before the scheduled formal defense. If the subcommittee determines that the application meets the requirements for expert evaluation, the thesis or practical work will advance to the expert evaluation stage. The evaluation process will be conducted in accordance with the “Rules for Expert Evaluation of Master's Theses or Practical Works of Harbin Institute of Technology” .

#### **Article 7 Defense of Master's Thesis or Practical Work**

##### **(I) Application for Early Defense**

Master's degree candidates are generally not permitted to apply for early defense. However, candidates with exceptional academic performance and strong research abilities, who meet the criteria outlined in the “Regulations on Achievements Required During the Pursuit of a Master's Degree at Harbin Institute of Technology” , may apply for early defense with the approval of their supervisor and the subcommittee.

Procedure for Early Defense: The candidate must submit an application for early defense. Once the application is approved by the supervisor, the subcommittee will designate two experts to evaluate the thesis. Based on their evaluation result, a decision will be made on whether to grant early defense permission, which must also be reported to the Office of Academic Degrees for record-keeping.

##### **(II) Review of Defense Application**

The defense committee secretary must submit all required materials for the defense application to the subcommittee for approval one week before the scheduled defense. The materials include:

1. Preliminary Review Report, Defense Application Form, Defense Eligibility Review Form , Defense Committee Member Approval Form, Expert Feedback Form, and Revision Report Based on Expert Feedback ;
2. Master's thesis or practical work having passed the expert evaluation;
3. Academic transcript;
4. Supporting documentation for any achievements during the degree program.

The subcommittee should thoroughly review the candidate's thesis or practical work, focusing on the workload, the validity of conclusions, the quality of results, and adherence to academic writing standards.

##### **(III) Defense Committee Members**

The defense committee will be established by the candidate's academic discipline or major and must receive approval from the subcommittee. Any replacement of committee members must be reported to the subcommittee for approval. The defense committee members should meet the following requirements:



1. The committee must consist of five members, all of whom are master's supervisors or experts with senior professional titles (or equivalent qualifications). Members must be experts in the relevant academic discipline or profession. For professional degrees, the committee must include at least one industry expert. For an interdisciplinary thesis or work, the committee must include experts from all related disciplines or professions.

2. The subcommittee should appoint a chairperson for the defense committee who possesses strong academic or professional expertise, a sense of responsibility, and a commitment to ethical principles.

3. Only one member of the candidate's supervisory team—whether the supervisor, co-supervisor, or another team member—may serve on the committee, and they cannot hold the positions of chairperson or secretary.

4. For candidates with equivalent academic qualifications applying for a master's degree, the supervisor, co-supervisor, members of the supervisory team, or referees are not allowed to be members of the defense committee.

5. A secretary, who must be a faculty member at HIT, should be appointed for the defense, but they cannot be a member of the defense committee.

#### **(IV) Defense Procedure**

The defense secretary should distribute the thesis or practical work to the defense committee members for review one week before the defense and make relevant information on the defense public. Defense committee members must carry out their duties independently and responsibly.

The defense for academic and professional degrees should be held separately and publicly. Candidates must attend the defense in formal attire. The defense session typically lasts 30–40 minutes, and detailed records should be kept. The procedure is as follows:

1. Introduction by the Defense Secretary: The secretary introduces the candidate's name, discipline/major, title of thesis or practical work, academic performance, as well as the candidate's resume and the members of the defense committee.

2. Defense Presentation:

(1) The candidate presents the main content of their thesis or practical work (20–30 minutes).

(2) The candidate explains the revisions made in response to the expert feedback.

(3) Defense committee members review the candidate's responses to the expert feedback and corresponding revisions.

(4) Defense committee members ask questions, and the candidate responds (at least 10 minutes).

(5) The committee evaluates the candidate's performance during the defense, checks if there are issues in the research topic, research process, or practical work, and reviews the content, structure, and adherence to academic writing standards of the thesis or practical work.

3. Closed Session for Committee Deliberation:

(1) The committee evaluates whether the thesis or practical work meets academic or professional standards, whether the conclusions and results are valid, whether the structure is appropriate, and points out any major issues.

(2) The committee votes by secret ballot to decide if the defense is passed and whether to recommend awarding the master's degree. The final resolution requires approval from at least two-thirds of the committee members.

(3) The committee's resolution must objectively summarize the innovative contributions of the thesis or practical work and provide a fair evaluation.

(4) If the defense is unsuccessful, the candidate may revise the thesis or practical work and apply for a second defense within one year, subject to approval from the committee members, as long as they have not exceeded the maximum time limit for degree completion.

(5) The committee discusses and finalizes the defense resolution.

4. Reopen the Session: The chairperson announces the defense resolution.

5. Candidate's Statement: The candidate responds to the committee's resolution.

6. Signatures: The chairperson signs the defense resolution and the original defense records.

7. Conclusion: The chairperson announces the conclusion of the defense.

#### **Article 8 Review by the Academic Degree Evaluation Committee**

As a rule, candidates must submit their degree application materials to the subcommittee within one year of passing the defense. Late submissions will not be accepted. The review processes for academic and professional degrees should be conducted separately.

Resolutions by the degree evaluation committees at all levels must be made during formal meetings. To be valid, a meeting requires the presence of at least two-thirds of the committee members. A resolution is passed if more than half of the members vote in favor.

#### **(I) Subcommittee Review**

The subcommittee reviews the candidate's thesis or practical work and related materials to ensure that all required revisions from the defense committee have been addressed. It also verifies that the candidate's achievements during the master's program meet the standards of their discipline or major. Based on the defense committee's resolution, the subcommittee will vote on whether to recommend awarding the degree, make a resolution, and submit it to the university degree evaluation committee for further review. If the thesis or practical work has not yet been voted on by the subcommittee, the candidate may revise it and submit it for review at the next meeting, provided it has been approved for revision by the subcommittee.

Candidates who pass the subcommittee review must make the required revisions based on the feedback provided and submit a revision report detailing the changes made. The revised thesis or practical work must be reviewed and signed by the experts designated by the subcommittee.

#### **(II) Review by HIT Academic Degree Evaluation Committee**

The thesis or practical work must be submitted to the HIT Academic Degree Evaluation Committee within one year after the defense. The committee will determine whether to award the master's degree based on the subcommittee's resolution and a review of the degree application materials.

If the thesis or practical work is not voted on after the committee's review, the candidate must make the necessary revisions and resubmit it for further review. If the work is not voted on after two rounds, the degree application of the candidate will no longer be accepted.

If the committee requires revisions, the updated work must be reviewed and approved by the

candidate's supervisor and the subcommittee before the degree can be awarded.

### **Chapter III Doctoral Degree Conferral Process**

**Article 9** To apply for a doctoral degree, the candidate's dissertation or practical work must undergo the following steps: pre-defense, expert evaluation, defense, review by the degree evaluation subcommittee, and final approval by the HIT Academic Degree Evaluation Committee.

**Article 10** Before applying for a doctoral degree, the candidate must fulfill the following requirements:

- (I) Complete all courses outlined in the training plan, pass the course assessments, and earn the required credits. Complete all training components and successfully pass the corresponding assessments.
- (II) Engage in academic research or professional practice relevant to the dissertation or practical work.
- (III) Academic degree candidates must write a doctoral dissertation. Professional degree candidates may choose to write a dissertation or complete practical work, depending on their research focus and professional experience. The practical work can include items such as major equipment, instruments, other hardware products, software products, design solutions, technical standards, or other related outputs.
- (IV) Meet the subcommittee's requirements for innovative achievements or the originality requirements for the dissertation or practical work.

**Article 11** Pre-Defense of Doctoral Dissertation or Practical Work

- (I) When the doctoral dissertation or practical work is completed and approved by the supervisor, the subcommittee will arrange a preliminary review with at least two experts. For professional degree candidates, the review must include at least one industry expert. The pre-defense will proceed once the dissertation or practical work is confirmed to meet the requirements of the relevant discipline or major.
- (II) The pre-defense will be managed by the head of the candidate's discipline or major, based on the candidate's research focus and the content of their work. The process of the pre-defense will be the same as the formal defense.
- (III) The pre-defense committee will consist of five to seven members, including doctoral supervisors, professors, and/or senior industry experts from the candidate's discipline/major or relevant fields. One member will be designated as the chair of the committee. For professional degree candidates, at least one member must be an industry expert. A pre-defense secretary will also be appointed. The composition of the committee must be approved by the degree evaluation subcommittee.
- (IV) During the pre-defense, the pre-defense committee will evaluate the workload, originality, and academic rigor of the dissertation or practical work, and point out any areas that need improvement and provide recommendations for revision.
- (V) The pre-defense committee will determine one of the following outcomes: 1. Passed, 2. Passed with Revisions, 3. Not Passed. In case of disagreement among committee members, a secret ballot may be used to finalize the decision. The outcome of the pre-defense should be recorded in the "Pre-Defense Report".

(VI) Based on the feedback provided by the pre-defense committee, the degree candidate should revise the dissertation or practical work. If the pre-defense is passed and the revisions are approved by the supervisor, the work may proceed to the expert evaluation stage. If the pre-defense is not passed, the candidate must address the feedback, make the necessary revisions, and submit the work for a second pre-defense after review and approval by their supervisor and discipline.

#### **Article 12 Expert Evaluation of Doctoral Dissertation or Practical Work**

(I) Once the pre-defense of the doctoral dissertation or practical work is passed, it will proceed to expert evaluation. For professional degree dissertations or practical works, industry experts must be included in the evaluation process. The subcommittee will decide and organize the evaluation process.

(II) For classified dissertations or practical works, hard copies must be submitted for the evaluation. Subcommittees should choose the universities, research institutes, or companies with the necessary security clearance, as determined by the HIT Confidentiality Committee, to conduct the evaluation.

(III) Doctoral degree candidates must submit their application for the expert evaluation at least 45 days before the defense date to the respective subcommittee. The subcommittee will then review the application and organize the evaluation.

(IV) The evaluation process and handling of the expert feedback will follow the “Rules for Expert Evaluation of Doctoral Dissertations or Practical Works”.

(V) The defense committee secretary will prepare a document with the feedback from the experts, which should include:

1. Comments on the dissertation or practical work's topic.
2. Comments on the originality in the dissertation or practical work.
3. Overall evaluation of the dissertation or practical work.
4. Problems, weaknesses, and suggestions for improvement.
5. If there are additional experts in the evaluation, their feedback should be included.

The degree candidate must respond clearly to each point raised by the experts. If the feedback is accepted, the dissertation or practical work should be revised accordingly. The response must specify the changes made and their page numbers. If the feedback is not accepted, the candidate must state the reasons, using data or references to support their reasoning.

This document should also include the review comments from the candidate’s supervisor, and must be reviewed and signed by the chair of the subcommittee.

#### **Article 13 Defense of Doctoral Dissertation or Practical Work**

Doctoral students must apply for defense of their doctoral dissertation or practice work within one year of passing the pre-defense. Applications submitted after this period will require a new pre-defense. The defense of the doctoral dissertation or practical work must be conducted in person and be open to the public. Classified dissertations also require in-person defense, with adherence to confidentiality protocols.

##### **(I) Review of Defense Application**

The defense committee secretary must submit all required materials for the defense application to the

subcommittee for approval one week before the scheduled defense. Required materials include:

1. Pre-Defense Report, Defense Application Form, Defense Eligibility Review Form, Defense Committee Member Approval Form , Expert Feedback Form, and Consolidated Expert Feedback ;
2. Dissertation or practical work having passed both the pre-defense and the expert evaluation;
3. Academic transcript;
4. Supporting documentation demonstrating significant innovative achievements during the doctoral program.

The subcommittee's review of the dissertation or practical should be focused on its originality, quality, conclusions, adherence to academic writing standards, and any significant achievements the candidate attained during the doctoral program.

## **(II) Defense Committee Members**

The defense committee will be established by the candidate's academic discipline or major and must receive approval from the subcommittee. Any replacement of committee members must be reported to the subcommittee for approval. The defense committee members should meet the following requirements:

1. The committee must consist of seven members, all of whom should be doctoral supervisors or experts with senior professional titles (or equivalent qualifications). Members must be experts in the relevant academic discipline or profession. At least five members should be doctoral supervisors, and two members must be external experts. For professional degree dissertations or practical works, at least one industry expert must be included. For interdisciplinary dissertations or works, the committee must include experts from all related disciplines or professions.

2. The subcommittee should appoint a chairperson from among the doctoral supervisors in the defense committee with deep expertise in the dissertation or practical work's field, a strong sense of responsibility, and a commitment to ethical principles.

3. As a rule, the defense committee should include members from the degree evaluation subcommittee who have authority over the candidate.

4. At least two members of the pre-defense committee should also be part of the defense committee.

5. Only one member of the candidate's supervisory team—whether the supervisor, co-supervisor, or another team member—may serve on the committee, and they cannot hold the positions of chairperson or secretary.

6. For candidates with equivalent academic qualifications applying for a doctoral degree, the supervisor, co-supervisor, members of the supervisory team, or referees are not allowed to be members of the defense committee.

7. A secretary should be appointed for the defense, but they cannot be a member of the defense committee.

## **(III) Defense Procedure**

The defense secretary must send the dissertation or practical work to the defense committee members one week before the defense and make relevant defense information publicly available for at least three working days.

The defense should be open to the public, and candidates are required to attend in formal attire. Each defense session will typically last for two to three hours. The defense must be thoroughly

documented and conducted according to the following procedure.

**1. Introduction by the Defense Secretary:**

The secretary introduces the candidate's name, discipline/major, title of dissertation or practical work, academic performance, candidate's resume, report on the dissertation or practical work and corresponding innovative achievements; reads out the list of defense committee members and introduces each one.

**2. Defense Presentation:**

(1) The candidate presents the main content of their dissertation or practical work (40–50 minutes).

(2) The secretary reads out the expert feedback and the candidate's responses.

(3) Defense committee members review the candidate's responses to the feedback and corresponding revisions.

(4) Defense committee members ask questions, and the candidate responds.

(5) The committee evaluates the candidate's performance during the defense, checks if there are issues in the research process, and assesses the originality, content, structure, and adherence to academic writing standards of the dissertation or practical work.

**3. Closed Session for Committee Deliberation:**

(1) The committee evaluates whether the dissertation or practical work meets academic or professional standards, whether the innovative achievements are valid, whether the structure is appropriate, and points out any major issues.

(2) The committee votes by secret ballot to decide if the defense is passed and whether to recommend awarding the doctoral degree. The final resolution requires approval from at least two-thirds of the committee members.

(3) The committee's resolution must objectively summarize the innovative contributions of the dissertation or practical work and provide a fair evaluation.

(4) If the defense is unsuccessful, the candidate may revise the thesis or practical work and apply for a second defense within two years, subject to approval from the committee members, as long as they have not exceeded the maximum time limit for degree completion.

(5) If the defense committee determines that the candidate's dissertation or practical work does not fulfill the requirements for a doctoral degree but meets the standard of a master's degree, and the candidate has not yet earned a master's degree in the relevant discipline or major from our university, they may, with the candidate's consent, recommend awarding a master's degree. This recommendation will then be submitted to the Academic Degree Evaluation Committee for approval.

(6) The committee discusses and finalizes the defense resolution.

**4. Reopen the Session:**

The chairperson announces the defense resolution.

**5. Candidate's Statement:**

The candidate responds to the committee's resolution.

**6. Signatures:**

The chairperson signs the defense resolution and the original defense records.

**7. Conclusion:**

The chairperson announces the conclusion of the defense.

**Article 14 Public Disclosure of Doctoral Dissertation or Practical Work**

(I) Generally, the public disclosure period for the doctoral dissertation or practical work begins upon the successful completion of the pre-defense and continues until the HIT Academic Degree Evaluation Committee has approved conferral of the degree. This period should be no shorter than one month.

(II) During this time, the degree candidate is required to make relevant information of their dissertation or practical work publicly available and respond to any questions raised by the public.

(III) The Office of Academic Degrees is responsible for receiving and handling the questions raised by the public during the period.

#### **Article 15 Review by the Academic Degree Evaluation Committee**

As a rule, candidates must submit their degree application materials to the subcommittee within one year of passing the defense. Late submissions will not be accepted. The review processes for academic and professional degrees should be conducted separately.

Resolutions by the degree evaluation committees at all levels must be made during formal meetings. To be valid, a meeting requires the presence of at least two-thirds of the committee members. A resolution is passed if more than half of the members vote in favor.

#### **(I) Subcommittee Review**

The subcommittee reviews the candidate's dissertation or practical work and related materials to ensure that all required revisions from the defense committee have been addressed. It also verifies that the candidate's innovative achievements during the doctoral program meet the standards of their discipline or major. Based on the defense committee's resolution, the subcommittee will vote on whether to recommend awarding the degree, make a resolution, and submit it to the university degree evaluation committee for further review. If the dissertation or practical work has not yet been voted on by the subcommittee, the candidate may revise it and submit it for review at the next meeting, provided it has been approved for revision by the subcommittee.

Candidates who pass the subcommittee review must make the required revisions based on the feedback provided and submit a revision report detailing the changes made. The revised dissertation or practical work must be reviewed and signed by the experts designated by the subcommittee.

#### **(II) Review by HIT Academic Degree Evaluation Committee**

The thesis or practical work must be submitted to the HIT Academic Degree Evaluation Committee within one year after the defense. The committee will review doctoral degree applications based on the resolutions of its subcommittees, with particular focus on cases where a subcommittee recommends denying the degree, the university's expert panel advises postponing a vote, or other exceptional circumstances are flagged by the subcommittee. After the review, the committee will make the final resolution on whether to confer the doctoral degree.

If the dissertation or practical work is not voted on after the committee's review, the candidate must make the necessary revisions and resubmit it for further review. If the work is not voted on after two rounds, the degree application of the candidate will no longer be accepted.

## **Chapter IV Academic and Degree Reassessment**

**Article 16** If a degree candidate disagrees with the results of the expert evaluation, defense, or achievement recognition processes, they must submit a written request for academic reassessment to the subcommittee within 30 days of receiving the results. Upon receiving the request, the subcommittee should convene a panel of experts to conduct the reassessment within 30 days. During this process, the candidate will have the opportunity to present their statements and defenses. A final decision will then be made and formally communicated to the candidate.

**Article 17** If a degree candidate or recipient disagrees with decisions made by any levels of the Academic Degree Evaluation Committee—such as the rejection of a degree application, denial of a degree conferral, or revocation of a conferred degree—they may submit a written request for reassessment to the university within 30 days. The university should complete the reassessment within 30 days of receiving the request. During the process, the degree candidate or recipient will have the opportunity to present statements and defenses. A final decision will then be made and formally communicated to the candidate or recipient.

## **Chapter V Supplementary Provisions**

**Article 18** Doctoral dissertations or practical work must include information about the reviewers, members of the defense committee, and the resolutions passed during the defense. Practical work must also include evaluations from industry experts regarding its originality and practical application.

**Article 19** Once the HIT Academic Degree Evaluation Committee approves the conferral of master's and doctoral degrees, the list of recipients will be published on the website of the Graduate School of Harbin Institute of Technology, and degree certificates will be issued. To raise objections, one must submit a written statement to the subcommittee under their real name. The subcommittee will then investigate the matter and present its findings and recommendations to the HIT Academic Degree Evaluation Committee, which will resolve the issue based on verified facts.

**Article 20** The subcommittee is responsible for transferring the candidate's application materials, including dissertations or practical work and other relevant archival documents, to the university archives and library. Doctoral dissertations or practical work must also be submitted to the National Library of China and relevant professional libraries.

For classified doctoral dissertations or practical work, archiving must comply with secret laws, administrative regulations, and national confidentiality guidelines.

**Article 21** International degree candidates at HIT will be awarded degrees in accordance with the academic, scholarly, or professional requirements and procedures outlined in this document.

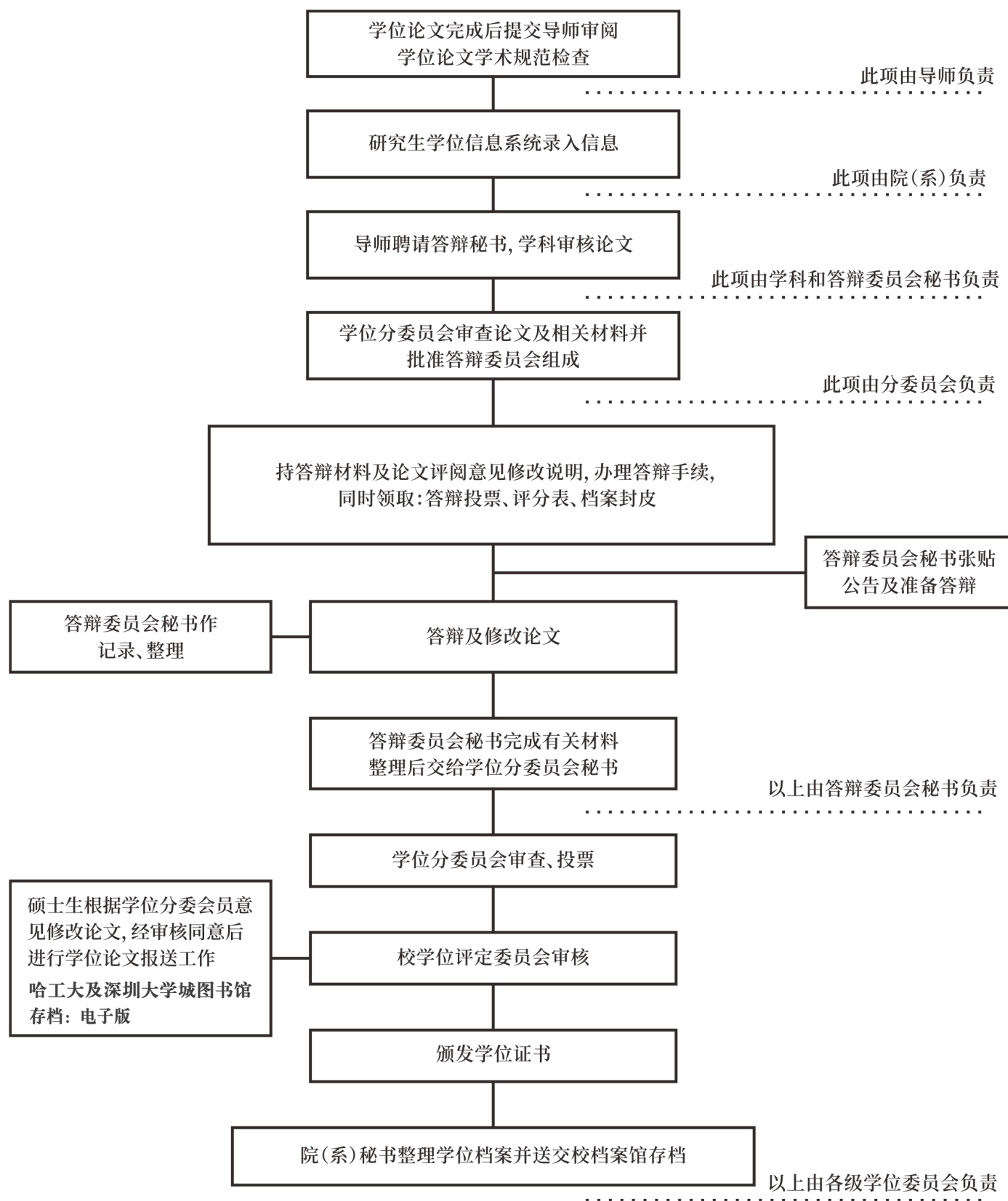


**Article 22** Candidates under university-enterprise joint training programs should follow the corresponding degree application procedures established by those programs.

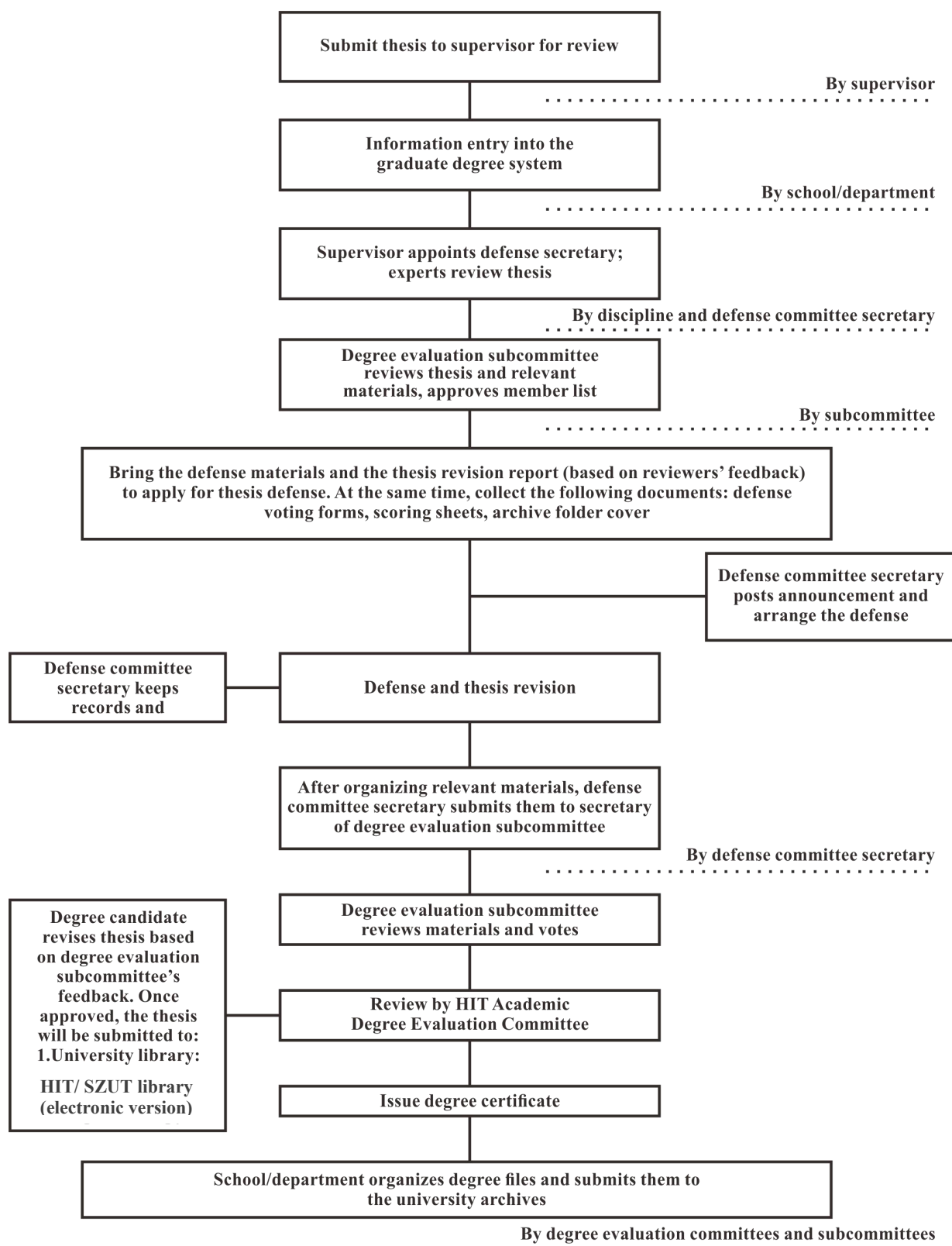
**Article 23** The Office of Academic Degree Evaluation Committee reserves the right to interpret the Rules.

**Article 24** These Rules shall be effective as of January 1, 2025. If there is any discrepancy between other rules and this document, the latter shall prevail.

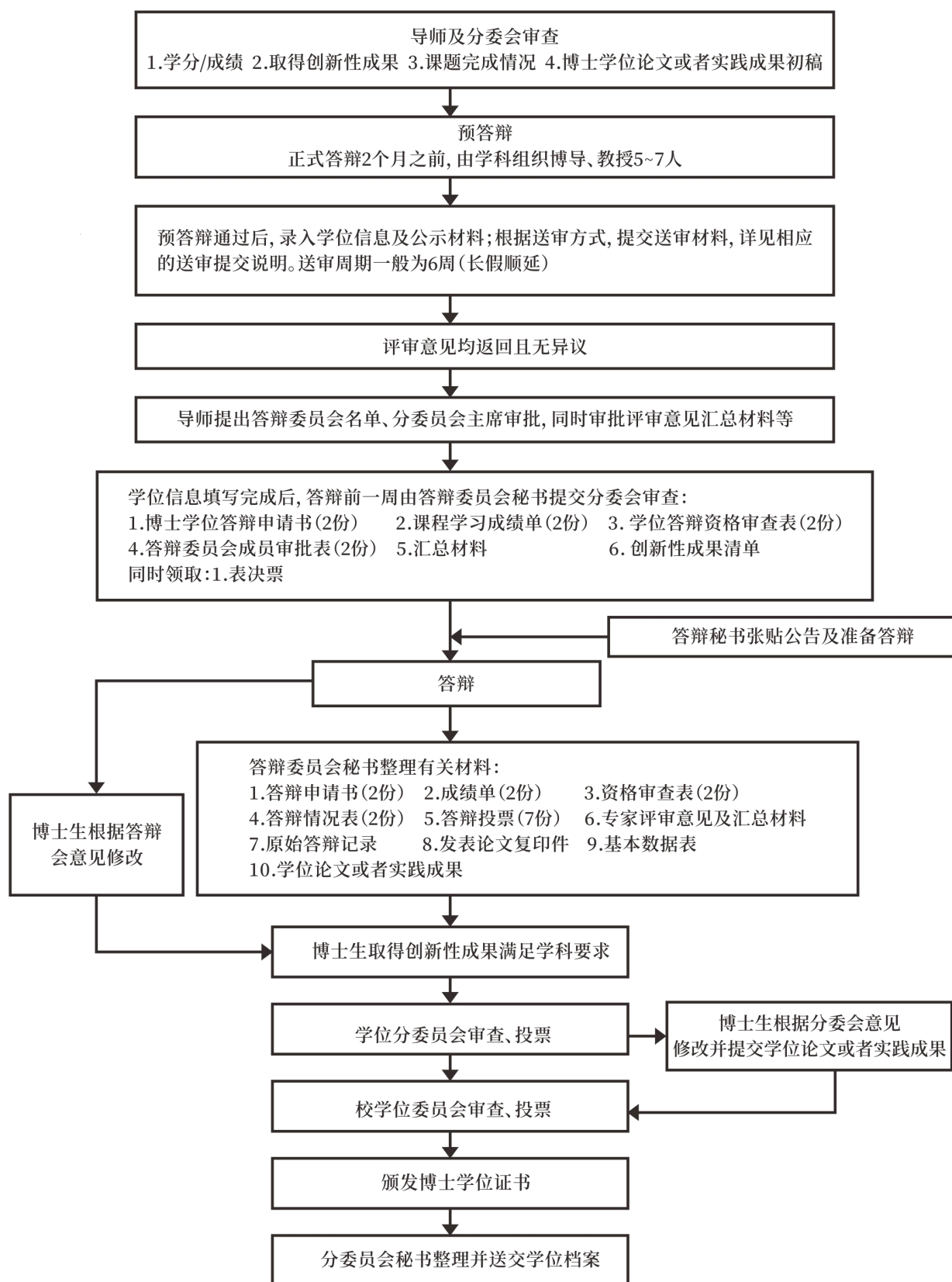
## 硕士研究生申请学位流程图



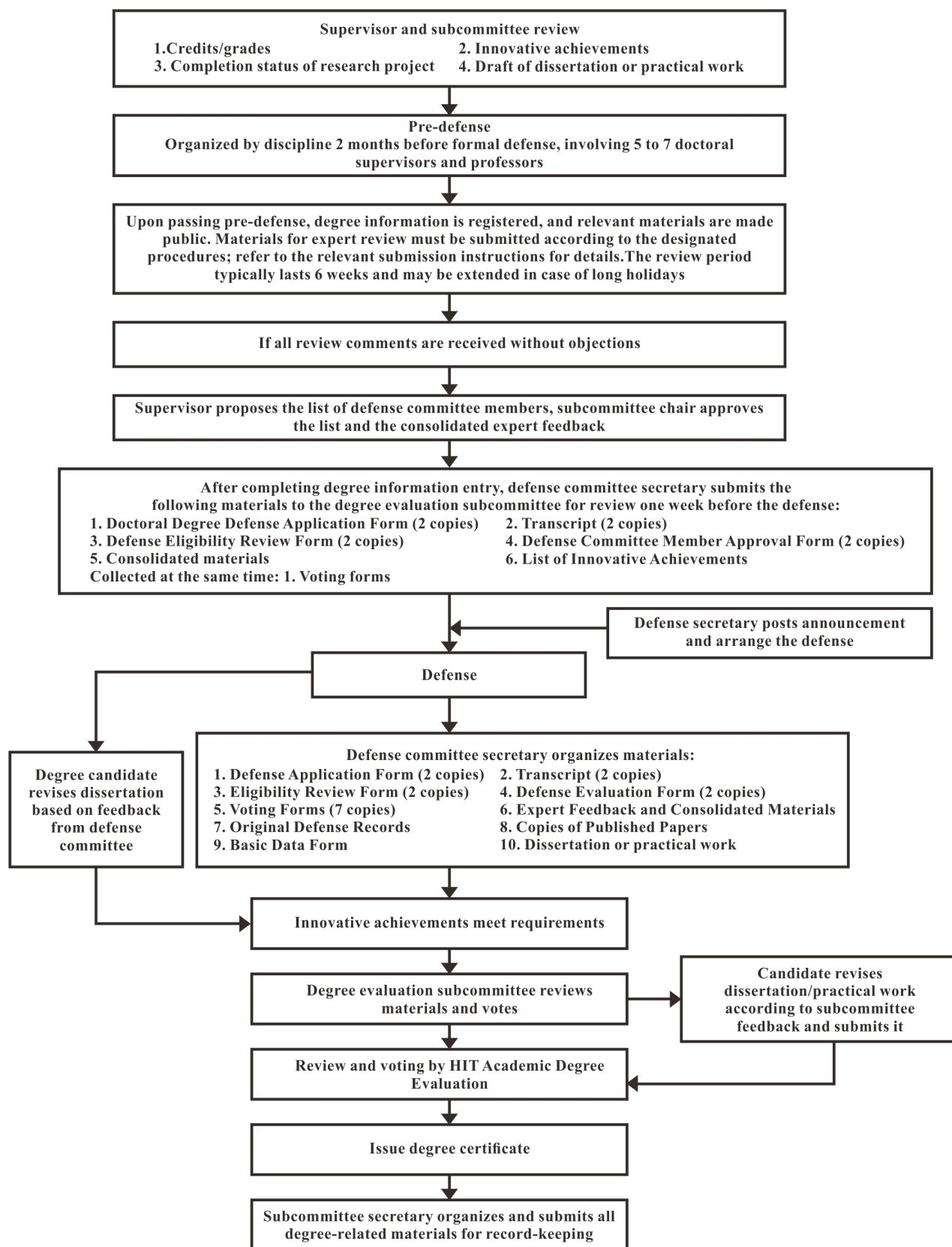
## Master's Degree Application Process Flowchart



## 博士研究生申请学位流程图



## Doctoral Degree Application Process Flowchart



# 博士研究生申请学位流程说明

## 一、预答辩

学位论文或者实践成果初稿完成后，经导师审查同意，预审通过，学生在研究生管理系统向导师及所在院系申请预答辩权力下放。教学秘书登录研究生教育综合管理系统（简称“系统”），为学生下放预答辩权力及学位信息录入权力，学生登录系统逐项录入学位信息，同时还应维护本人的学籍信息，填写并下载《预答辩情况表》。

博士生持导师审查并签署意见的预答辩情况表，经导师审阅认可的学位论文或者实践成果及发表论文原件，由分委会对博士生发表的学位论文或者实践成果进行审查，分委会主席签署审查意见并确认博士生发表文章是否满足学位授予要求。如果博士生入学满五年后至满六年之前，若已投稿论文与学科制定的“博士研究生在攻读博士学位期间取得创新性成果要求”相匹配，经导师同意可以申请博士学位答辩。分委会审查通过后，博士生可进行预答辩。预答辩程序见《哈尔滨工业大学硕士博士学位授予工作实施细则》。

预答辩通过后，学生登录系统，录入博士学位论文或者实践成果公示材料、攻博期间发表的学术论文及学术成果等，同时根据预答辩委员会提出的意见修改论文，修改后的论文经导师确认、分委会审查（包括格式审查）通过后，方可向校学位办提出论文送审申请。

## 二、论文评审

1. 采用“网络送审”方式，学生需登录研究生系统，进入“博士学位匿名评审”页面，在线提交以下材料：

（1）电子版博士学位论文或者实践成果（pdf 版本）。文件命名为“10213\_二级学科代码\_姓名\_LW”，如：10213\_081202\_张三\_LW，将论文压缩为 zip 格式压缩包上传。

（2）与博士学位论文或者实践成果工作直接相关的已发表或已正式录用的最具代表性的学术文章 1 篇（pdf 版本）。文件命名为“10213\_二级学科代码\_姓名\_QT”，压缩为 zip 格式压缩包上传。

（3）攻读博士期间取得创新性成果清单一份，要求由研究生系统录入并打印，导师、院（系）主管领导意见明确、签字齐全，清单扫描件（pdf 版本）压缩为 zip 格式压缩包上传。

（4）填写完整的《博士学位论文预答辩情况表》扫描件（pdf 版本）、发表论文证明扫描件及盖有财务转讫专用章的“哈尔滨工业大学内部转账单”或者线上缴费证明及发表论文证明扫描件压缩在一起，署名评审论文需上传署名评审推荐表，上传.zip 压缩文件。

（5）同等学力申请博士学位人员推荐专家不能做学位论文或者实践成果评阅人，故需在回避专家位置填写两位推荐人的姓名及工作单位。

2. 涉密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。

3. 论文送审周期一般为 6 周（遇长假时间顺延）。

4. 博士生可通过研究生系统查看学位论文送审情况，评审结果返回后，“网络送审”可在线查看并打印评审意见（用于归档的评审意见可在自助打印系统自行打印）；“纸质版送审”需到所在学院领取评审意见。

### 三、申请答辩

博士生到分委员会秘书处领取《博士研究生成绩单》（2份，需加盖研究生院培养处公章），博士学位论文或者实践成果评审意见全部收回且评审结果符合答辩要求后，答辩秘书进入系统（博士生录入学位相关信息时一定要录入答辩秘书成员编号，否则秘书无法工作），录入专家评审意见各分项结果、答辩日期等项。导师登录研究生系统，审查学生学位信息，录入对该学生学位论文的评语及推荐意见，并在系统中确认提交。系统中导师审查确认后，学生只能查看无权修改信息，故请学生在导师审查前仔细检查，保证其学位信息的准确与完整。博士生从系统中输出答辩系列用表。

为保证各位博士研究生答辩的顺利进行，充分发挥答辩委员会的把关作用，请答辩委员会秘书于正式答辩一周之前（特殊情况至少需在正式答辩三个工作日前）到学科学位分委员会办理答辩审核手续，并于答辩一周之前将学位论文送交至答辩委员会成员。答辩审核须携带的材料及顺序如下：

- （1）有博士生本人签字的答辩申请书（2份）；
- （2）有教学秘书、院系及研究生院盖章确认的课程成绩单（2份）；
- （3）有导师、分委会主席签字同意的答辩资格审查表（2份）；
- （4）有分委会主席签字同意的答辩委员会成员审批表（2份）；
- （5）有导师、分委会主席签字审核的评审意见汇总材料（1份）。

分委会审查批准，发给表决票，在系统内录入答辩审查情况，由学位办审批。

### 四、答辩

答辩程序见《哈尔滨工业大学硕士博士学位授予工作实施细则》。

### 五、整理材料

答辩通过后，由答辩委员会秘书整理有关材料，答辩秘书登录研究生系统录入答辩决议和答辩结果，输出答辩情况表，将答辩系列用表装入材料袋，交相关分委员会秘书；博士生按照答辩委员会意见修改、整理学位论文或者实践成果，按分委员会要求装订若干册交分委员会秘书，待各级学位委员会进行审查。

注：为保证校学位会、各分委会的学位审核工作，每次校学位评定委员会会议前后各一周内停止办理专家评阅事宜（校学位会一般每年3月中下旬、6月中旬、9月下旬、12月下旬召开，具体时间将根据学校当年的教学日历确定）。

## Details of Doctoral Degree Application Process

### I. Pre-defense

Once the first draft of the dissertation or practical work is completed and approved by the supervisor, and the preliminary review is passed, the student may apply for pre-defense through the Graduate Management System. This application requires approval from both their supervisor and school. The academic secretary logs into the Graduate Education Integrated Management System (hereinafter referred to as “the system”) to grant the student permission for pre-defense and access to degree information entry. The student then logs in to complete the required degree information, update their student status, and fill out and download the “Pre-Defense Report Form”.

The student must submit the “Pre-Defense Report Form” reviewed and signed by their supervisor, the supervisor-approved dissertation or practical work, and original copies of published papers to the degree evaluation subcommittee. The subcommittee will review the submitted dissertation or practical work, and the chair will provide comments, sign the form, and check whether the student’s publications meet the degree granting requirements. If a doctoral student has been enrolled for more than five years but less than six, and the submitted papers meet their discipline’s “Requirements for Doctoral Students to Attain Innovative Achievements During Their Studies”, the student may apply for dissertation defense with supervisor approval. Upon approval by the degree evaluation subcommittee, the student may proceed with the pre-defense. For the pre-defense process, please refer to the “Rules for Conferral of Master’s and Doctoral Degrees of Harbin Institute of Technology”.

After passing the pre-defense, the student logs into the system to submit materials for public display, including the information related to the dissertation or practical work that has been made public, publications and research achievements during the doctoral program. Additionally, the student must revise the dissertation according to the pre-defense committee’s feedback. Once the revised dissertation is approved by the supervisor and passes the degree evaluation subcommittee’s review (including format review), it may be submitted to the Office of HIT Academic Degree Evaluation Committee for external review.

### II. External Review

Students must submit their materials online via the Graduate System. Enter the “Doctoral Degree Anonymous Review” page and upload the following documents:

(1) Dissertation or Practical Work

Format: PDF

File name: 10213\_Sub-disciplineCode\_Student Name\_LW

(e.g., 10213\_081202\_ZhangSan\_LW).

Compress it into a .zip file before uploading.

(2) A Representative Academic Article

Must be a published or formally accepted article directly related to the dissertation or practical work.



Format: PDF

File name: 10213\_Sub-disciplineCode\_Student Name\_QT

Compress it into a .zip file before uploading.

(3) List of Innovative Achievements

Must be entered into the Graduate System and printed.

The list must include clear comments and signatures from the supervisor and the school/department head.

Scan the signed list (pdf), compress it into a .zip file, and upload.

(4) Supporting Documents

Upload a single .zip file containing:

A scanned, fully completed “Dissertation Pre-Defense Report Form” (PDF)

Proof of publications (scanned copy) along with payment receipt (either a scanned SUSTech Internal Transfer Receipt with the financial seal or proof of online payment)

For open review, an Open Review Recommendation Form must also be included.

(5) Conflict of Interest Information

For candidates applying with equivalent academic qualifications, referees may not serve as reviewers, so their names and affiliated institutions must be entered under the “Conflict of Interest Experts” section.

2. Classified dissertations must be submitted in printed form for review. Non-classified dissertations should be submitted electronically for online review.

3. The external review typically lasts 6 weeks and may be extended in case of long holidays.

4. Degree candidates can track the review status through the Graduate System. Once the review results are available, candidates who submitted their dissertations online may view and print the reviewers’ comments directly from the system (archival copies can be printed using the self-service printing system). For those who submitted printed copies, review comments must be collected from their school.

### **III. Defense Application**

Degree candidates must collect two copies of their official “Doctoral Transcript”, stamped by the Graduate School Academic Affairs Office, from the subcommittee secretary. Once all review comments on the dissertation or practical work have been received and meet the defense eligibility requirements, the defense secretary will log into the Graduate System to input the expert review results, defense date, and other required information. (Note: When the candidate enters degree-related information, the defense secretary’s staff number must be included. Without it, the secretary cannot proceed with the defense setup.) The supervisor must log into the system to review the student’s degree information, provide comments and a recommendation on the dissertation, and confirm submission in the system. After the supervisor confirms, the candidate will be able to view the degree information but cannot edit it. Therefore, candidates must carefully check the accuracy and completeness of all degree-related entries before the supervisor’s review. Once confirmed, the candidate should generate the required defense forms via the system.

To ensure a smooth defense process and effective evaluation by the defense committee:

1. The defense secretary must complete all defense preparation procedures with the degree evaluation subcommittee at least one week prior to the scheduled defense (or no later than three

2. working days before the defense in special cases).
3. The final version of the dissertation must be distributed to defense committee members at least one week before the defense.
4. Materials required for defense review and submission order:
  - (1) Defense Application Form, signed by the candidate (2 copies);
  - (2) Transcript, stamped by the academic secretary, school, and Graduate School (2 copies);
  - (3) Defense Eligibility Review Form, signed by supervisor subcommittee chair (2 copies);
  - (4) Approval Form for Defense Committee Members, signed by subcommittee chair (2 copies);
  - (5) Consolidated Review Feedback signed by supervisor and subcommittee chair (1 copy).
5. After review and approval by the subcommittee, voting forms will be issued. The defense review status will then be entered into the system for approval by the Degree Evaluation Office.

#### **IV. Defense**

For the defense process, please refer to the “Rules for Conferral of Master’s and Doctoral Degrees of Harbin Institute of Technology” .

#### **V. Organizing Materials**

After the defense is passed, the defense committee secretary is responsible for organizing all related materials. The secretary shall:

1. Log into the graduate system;
2. Enter the defense resolution and results;
3. Generate the defense report;
4. Compile all defense-related documents into a materials folder;
5. Submit the folder to the secretary of the relevant subcommittee.

The doctoral candidate must revise the dissertation or practical work based on the defense committee's feedback, bind the required number of copies as specified by the subcommittee, and submit them to the subcommittee secretary for review by the appropriate degree evaluation committees.

**Note:** To ensure the smooth operation of degree evaluations conducted by the HIT Academic Degree Evaluation Committee and its subcommittees, expert review procedures will be suspended for one week before and one week after each HIT Academic Degree Evaluation Committee meeting. These meetings are typically held in mid to late March, mid-June, late September, and late December, with exact dates determined according to the university’s academic calendar.

# 哈尔滨工业大学学位论文作假行为处理办法实施细则

校学位〔2015〕28号

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

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

**第三条** 本细则所称学位论文作假行为包括以下情形：

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

**第四条** 学校学位委员会对学位论文作假行为进行认定和处理。校学位委员会办公室统筹负责全校学位论文作假行为认定工作的组织与管理。研究生院负责研究生学位论文作假行为认定工作的组织和管理，本科生院负责本科生学位论文作假行为认定工作的组织和管理，继续教育学院负责成人教育和自学考试学生学位论文作假行为认定工作的组织和管理。各学位分委员会负责与本学科专业有关的学位论文作假行为认定的调查工作。

**第五条** 发现学位论文有作假嫌疑的，相关学位分委员会负责对其进行调查，并根据调查结果提出处理意见，上报校学位委员会办公室。学校学位委员会负责对学位论文作假行为

进行最后认定，并形成书面认定结果和处理意见。在进行学位论文作假行为调查时，要充分发挥专家的作用，加强学位论文作假行为评判的权威性和科学性。

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

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

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

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

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

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

**第十二条** 对学位申请人员、指导教师及其他有关人员做出处理决定前，应当听取当事人的陈述和申辩。处理决定做出后，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。

# **Rules for Handling Academic Misconduct in Theses and Dissertations at Harbin Institute of Technology**

No. 28 [2015], HIT Academic Degree Evaluation Committee

**Article 1** These Rules are formulated to standardize the management of theses and dissertations, promote academic integrity, enhance talent cultivation, and prevent academic misconduct. They are established in accordance with the “Regulations on Academic Degrees of the People’s Republic of China”, “Higher Education Law of the People’s Republic of China”, and the Ministry of Education’s “Measures for Handling Academic Misconduct in Theses and Dissertations” .

**Article 2** These Rules apply to all doctoral dissertations, master’s theses, and bachelor’s theses or graduation projects submitted to the university in fulfillment of requirements for doctoral, master’s, or bachelor’s degrees. For simplicity, all such works are hereinafter collectively referred to as “theses and dissertations”. Academic misconduct in theses or dissertations shall be handled in accordance with these Rules.

**Article 3** The term “academic misconduct in theses and dissertations” as used in these Rules includes the following acts:

- (I) Fabricating, purchasing, selling, or facilitating the buying and selling of theses or dissertations;
- (II) Having others write theses or dissertations on one’s behalf, writing for others, or facilitating such ghostwriting services;
- (III) Plagiarizing others’ arguments, viewpoints, conclusions, or other content without proper citation—thus presenting the ideas as original to the author in a thesis or dissertation;
- (IV) Stealing others’ work by making minor textual changes—such as rephrasing, adding or deleting sentences, rearranging paragraphs, or replacing subjects or objects—while keeping the core content substantially unchanged and failing to provide clear citation—thus presenting the content as original research in a thesis or dissertation;
- (V) Appropriating others’ original concepts, definitions, methods, principles, formulas, etc. in a thesis or dissertation;
- (VI) Stealing research results—such as surveys, experimental data, or charts—and copying them wholly or with minor changes into one’s own thesis or dissertation;
- (VII) Faking samples or falsely claiming to have used specific materials and methods in a thesis/dissertation without actually conducting the experiments;
- (VIII) Falsifying or manipulating data, fabricating observations or results, or intentionally selecting or altering original data to fit a desired research conclusion;
- (IX) Any other serious acts of academic misconduct in theses or dissertations.

**Article 4** The HIT Academic Degree Evaluation Committee holds overarching responsibility for the identification and handling of academic misconduct in theses and dissertations. The Office of HIT Academic Degree Evaluation Committee coordinates the misconduct identification process across the university. Oversight is divided by academic level: the Graduate School manages graduate theses and dissertations; the Undergraduate College oversees undergraduate theses; and the School of Continuing Education is responsible for theses from adult education and Self-Taught Higher

Education Examinations students. Each academic degree subcommittee investigates academic misconduct within its respective discipline.

**Article 5** When a thesis or dissertation is suspected of academic misconduct, the relevant degree evaluation subcommittee shall conduct an investigation and submit its findings and recommended actions to the Office of HIT Academic Degree Evaluation Committee. The HIT Academic Degree Evaluation Committee is responsible for making the final determination, issuing a written conclusion, and deciding on appropriate actions. Expert input should be fully utilized throughout the investigation to ensure the credibility and rigor of the evaluation process.

**Article 6** The university shall take all appropriate measures to protect the legitimate rights and interests of whistleblowers, witnesses, and the accused throughout the reporting and investigation of academic misconduct in theses and dissertations. Personnel involved in the investigation must have no conflicts of interest with the accused or the whistleblower to ensure impartiality. Until the university's relevant departments issue disciplinary or handling decisions, all procedures and materials shall be kept confidential, and all parties involved are strictly prohibited from disclosing any information regarding the investigation or its outcomes.

**Article 7** If an individual's thesis or dissertation is found to involve serious academic misconduct—such as purchasing work, ghostwriting, plagiarism, or data fabrication—their eligibility to apply for the degree will be revoked. If they have already been awarded a degree, the degree shall be revoked in accordance with the law, and the degree certificate canceled. Decisions to revoke degree application eligibility or awarded degrees will be made public and reported to the Ministry of Education for official record-keeping. From the date of the decision, the university will prohibit the individual from submitting any degree applications for a minimum of 3 years. If the individual is currently enrolled as a student, they shall be expelled. If employed by the university, their employer shall be notified of the disciplinary action taken.

**Article 8** Individuals who ghostwrite theses or dissertations for others, sell theses or dissertations, or facilitate the buying, selling, or ghostwriting of such works shall face the following disciplinary actions:

- Enrolled students will be expelled from the university.
- Faculty or staff members of the university will be dismissed or have their employment contracts terminated.

**Article 9** If a supervisor fails to fulfill their duties in academic integrity education, thesis/dissertation supervision, and review, and a thesis/dissertation under their supervision is found to involve academic misconduct, the university shall impose penalties based on the severity of the case. These may include reducing the supervisor's student intake, suspending, or revoking their eligibility for student recruitment. Additionally, the supervisor may face administrative sanctions such as warnings, demerits, serious demerits, demotion, removal from their position, expulsion, or termination of employment.

**Article 10** The university includes the review of theses and dissertations as part of the annual

evaluations of schools and departments. If a school or department has repeated cases of student academic misconduct in theses, or faces serious consequences from such misconduct and doesn't take proper corrective action, the university may reduce or suspend its enrollment quotas for the affected disciplines or programs. These schools or departments will be issued a public warning, and those responsible will face disciplinary actions.

**Article 11** If a student's academic misconduct in a thesis or dissertation violates relevant laws or regulations, they shall be held legally accountable in accordance with the applicable provisions.

**Article 12** Before making any disciplinary decision against degree candidates, supervisors, or other related personnel, the university shall provide an opportunity for them to present statements and defenses. Once a decision is reached, the involved parties shall be promptly informed. If the parties disagree with the decision, they may file an appeal, request administrative reconsideration, or initiate administrative litigation in accordance with the law. The Office of HIT Academic Degree Evaluation Committee is responsible for receiving appeals and applications for administrative reconsideration.

**Article 13** The Office of HIT Academic Degree Evaluation Committee is responsible for the interpretation of these Rules.

**Article 14** These Rules shall be effective as of the date of issuance.

# 哈尔滨工业大学硕士研究生在攻读学位期间 取得成果要求规定

（2023 年 6 月 1 日哈尔滨工业大学 2023 年第 7 次校长办公会议审议通过 2023 年 6 月 8 日哈尔滨工业大学发布）

哈工大研[2023]118 号

**第一条** 为进一步提高硕士研究生学位授予质量，规范学位评定相关工作，特制定本规定。本规定适用于 2022 级及以后的硕士研究生申请硕士学位。

**第二条** 各学位评定分委员会根据本规定，结合实际制定本学科《硕士研究生在攻读学位期间取得成果的要求》（以下简称《成果要求》）。成果要求应包含具体标准及相关认定程序等内容。学位评定分委员会应当结合研究生培养目标对学术型研究生和专业型研究生取得成果的具体标准予以区别。

**第三条** 学术或实践成果是评价学位论文水平的重要参考，学位论文是学位评定的主要依据。研究生取得的学术或实践成果应当由研究生在攻读硕士学位期间独立完成，在相应学科领域具有先进性，以学位论文的形式完整呈现。

**第四条** 研究生可以以期刊或会议学术论文、作品、产品、专利、专著、国家或行业标准、研究报告、学科竞赛、学术交流、社会或经济效益等多种形式呈现学术成果或实践成果。

**第五条** 成果的第一作者单位必须是哈尔滨工业大学（校企联合培养研究生协议书中明确规定的，单位署名要求按联合培养协议执行）。成果须与硕士学位论文密切相关，并应征得导师的同意。

**第六条** 研究生在攻读学位期间取得本学科《成果要求》中特别优秀的成果，经导师同意，学院、学部、校区审核通过后，可以申请提前答辩。

**第七条** 没有取得本规定中成果的研究生，学习期满，完成培养计划规定的学业内容、成绩合格，学位论文的水平经过导师同意、评审专家审核通过后，也可进行答辩及学位申请。

**第八条** 各学位评定分委员会的《成果要求》由学校学位评定委员会审核批准，校学位办公室备案。《成果要求》的解释权在学位评定分委员会。

**第九条** 本规定由研究生院负责解释。

**第十条** 本规定自印发之日起施行。



# **Regulations on Requirements for Master's Students to Attain Achievements During Their Studies at Harbin Institute of Technology**

No.118 [2023], Graduate School, HIT

(Approved at the 7th meeting of HIT Presidential Executive Council in 2023 on June 1, 2023, and issued on June 8, 2023)

**Article 1** These Regulations are formulated to further improve the granting process of master's degrees and regulate the associated evaluation procedures. These Regulations apply to master's degree candidates enrolled in and after 2022.

**Article 2** Each degree evaluation subcommittee shall, in accordance with these Regulations and based on the specific context of their disciplines, formulate the "Requirements for Master's Students to Attain Achievements During Their Studies" (hereinafter referred to as the "Achievement Requirements"). The Achievement Requirements shall clearly define specific evaluation criteria and the corresponding procedures for recognition. The degree evaluation subcommittee shall differentiate the standards for academic-degree students and professional-degree students, reflecting their distinct training objectives.

**Article 3** Academic or practical achievements are important references for evaluating the quality of a master's thesis, and the thesis is the primary basis for degree evaluation. The academic or practical achievements obtained by graduate students must be independently completed during the period of pursuing the master's degree. These achievements should represent advancements within the relevant academic discipline and be fully reflected in the thesis.

**Article 4** Graduate students may present their academic or practical achievements in various forms, including but not limited to: research papers published in journals or conference proceedings, creative works, products, patents, monographs, national or industry standards, research reports, participation in academic competitions or exchanges, and other accomplishments with demonstrated social or economic impact.

**Article 5** The first author of the achievements must be affiliated with Harbin Institute of Technology. For joint training programs under university-industry cooperation agreements, the affiliation and authorship requirements shall comply with the terms specified in the agreements. The achievements must be directly related to the master's thesis and have the approval of the supervisor.

**Article 6** Graduate students who have achieved outstanding results as defined in their discipline's "Achievement Requirements" during their studies may apply for early thesis defense, subject to the consent of their supervisor and approval from their school and campus.

**Article 7** Graduate students who have not met the achievement requirements outlined in these Regulations but have completed the prescribed study period, fulfilled the academic requirements of

their training plan with passing grades, and whose thesis meets the required standards as approved by their supervisor and evaluated by experts, may still proceed to the defense and apply for their degree.

**Article 8** The “Achievement Requirements” established by each degree evaluation subcommittee shall be reviewed and approved by the HIT Academic Degree Evaluation Committee and filed with the HIT Degree Evaluation Office. The right to interpret the “Achievement Requirements” rests with the degree evaluation subcommittees.

**Article 9** The Graduate School is responsible for interpreting these Regulations.

**Article 10** These Regulations shall be effective as of the date of issuance.

# 哈尔滨工业大学博士研究生攻读博士学位期间 取得创新性成果要求的规定

校学位〔2024〕37号

**第一条** 依据《中华人民共和国学位法》、《教育部关于深入推进学术学位与专业学位研究生教育分类发展的意见》等文件要求。为进一步落实对学术学位与专业学位创新性成果分类评价，更准确地评估学位申请人创新能力和综合素质，激励学位申请人开展原创性、前沿性、跨学科及重大工程应用创新性研究，鼓励博士学位申请人在学术研究领域或者专业实践领域做出创新性成果，制定本规定。

**第二条** 各学位评定分委员会应根据本规定制定符合学科或专业特点的《博士研究生攻读博士学位期间取得创新性成果要求》，要求中要明确博士学术学位申请人应当在学术研究领域做出创新性成果，博士专业学位申请人应当在专业实践领域做出创新性成果，报校学位评定委员会办公室备案。

**第三条** 创新性成果须是学位申请人在攻读博士学位期间在导师指导下独立完成，且与博士学位论文或者实践成果工作密切相关。

**第四条** 学术学位申请人在学术研究领域做出创新性成果应注重取得的是否为原创性、前沿性成果，包括但不限于学术论文、专著、专利、软件著作权、科技报告、科研获奖等。

**第五条** 专业学位申请人在专业实践领域做出创新性成果应注重取得的是否为解决重大工程技术问题、实现技术进步和推动产业升级、提高经济与社会效益等方面的成果，包括但不限于学术论文、国家（行业）标准、装备研制、专利、科技报告、技术鉴定等。

**第六条** 学位申请人在攻读博士学位期间没有取得公开发表的创新性成果，但博士学位论文或实践成果水平高、经同行专家、导师及学位评定分委员会专家认定在该领域取得了阶段性高水平研究成果，认定该博士学位论文或实践成果的创新性，也可申请博士学位。同行专家信息及认定意见应在其博士学位论文或者实践成果中予以公开。

**第七条** 关于创新性成果的署名

博士研究生的创新性成果需与博士学位论文或者实践成果密切相关，投稿前应经导师或副导师审阅同意，创新性成果署名中一般应有导师或副导师。用于满足学位申请要求的创新性成果，学位申请人必须是第一或第二作者/完成人；在学位申请人作为第二作者/完成人时，第一作者/完成人应为导师或副导师。

（一）对于学术论文、行业标准等一个作者/完成人可署名多单位的创新性成果情况。全日制博士研究生，创新性成果第一作者/完成人及通讯作者的属各单位均应有哈尔滨工业大学，用于满足学位申请要求的创新性成果第一作者/完成人及通讯作者的第一署名单位应为哈尔滨工业大学。非全日制培养的在职博士研究生，创新性成果第一作者/完成人及通讯作者的署名单位应有哈尔滨工业大学和与其学位论文或者实践成果工作相关的单位。

（二）对于专利、奖励等一个作者/完成人只能署名一个单位的创新性成果情况。全日制博士研究生，用于满足学位申请要求的创新性成果归属单位应为哈尔滨工业大学。非全日制培养的在职博士研究生，创新性成果的署名单位应有哈尔滨工业大学和与其学位论文或者实践成果工作相关的单位。

共同第一作者/完成人、多通讯作者创新性成果的认定方法按各学位评定分委员会规定执行。

（三）联合培养的博士研究生申请学位署名要求按前述第一、二条执行，特殊情况下，也可在校级联合培养协议中做出明确安排，按校级联合培养协议执行。

（四）对以研究生毕业同等学力申请博士学位人员的创新性成果，至少应有 1 篇与博士学位论文或者实践成果密切相关的期刊论文是与导师合作完成的，该篇论文的第一署名单位应为哈尔滨工业大学。

其他关于成果署名及成果认定要求由学位评定分委员会制定。

**第八条** 本规定自 2024 年秋季学期入学博士研究生开始执行，2024 年秋季学期之前入学的博士研究生建议参照本规定执行。

**第九条** 本规定由研究生院负责解释。

# **Regulations on the Requirements for Doctoral Students at Harbin Institute of Technology to Attain Innovative Achievements During Their Studies**

No. 37 [2024], HIT Academic Degree Evaluation Committee

**Article 1** These Regulations are formulated in accordance with the “Academic Degree Law of the People’s Republic of China”, the “Ministry of Education’s Opinions on Promoting the Differentiated Development of Academic and Professional Graduate Education”, and other relevant regulations. These Regulations are established to support the categorized evaluation of innovative achievements for academic and professional doctoral degrees, strengthen the assessment of candidates' innovation abilities and overall qualifications, promote participation in original, groundbreaking, interdisciplinary, and major innovative projects in applied engineering research, and encourage original contributions to academic research or professional practice.

**Article 2** The degree evaluation subcommittees should develop their own “Requirements for Doctoral Students to Attain Innovative Achievements During Their Studies” customized to the specific characteristics of their respective disciplines or majors, in accordance with the present Regulations. The requirements should clearly distinguish between academic degree candidates, who must demonstrate innovative achievements in academic research, and professional degree candidates, who should focus on innovative contributions to professional practice. Once finalized, these requirements must be submitted to the Office of the HIT Academic Degree Evaluation Committee for record-keeping.

**Article 3** The innovative achievements must be independently completed by the degree candidate, under the guidance of their supervisor, during their doctoral studies. These achievements should be closely related to their doctoral dissertation or practical work.

**Article 4** For academic degree candidates, innovative achievements in academic research should be evaluated based on their originality and contribution to advancing knowledge. These achievements may include, but are not limited to, academic papers, books, patents, software copyrights, scientific or technological reports, research awards, and other relevant scholarly contributions.

**Article 5** For professional degree candidates, innovative achievements in professional practice should be evaluated based on their significance in addressing major engineering or technological challenges, promoting technological development, improving industry practices, and contributing to economic and social progress. These achievements may include, but are not limited to, academic papers, contributions to national or industry standards, equipment development, patents, scientific or technological reports, technical evaluations, and other relevant professional contributions.

**Article 6** If a degree candidate has not produced any innovative achievements that have been published during their doctoral studies, but their doctoral dissertation or practical work demonstrates exceptional quality and is recognized by their supervisor, the evaluation experts, and experts from

the degree evaluation subcommittee as having made a significant contribution to the field, the innovation in the dissertation or practical work may still be acknowledged. In such cases, the candidate may still be eligible to apply for the doctoral degree. The feedback from evaluation experts and their identities must be disclosed in the dissertation or practical work.

#### **Article 7 Attribution of Innovative Achievements**

Innovative achievements of doctoral candidates must be closely related to their dissertation or practical work. Before submission, these achievements must be reviewed and approved by their supervisor or co-supervisor, who should generally be included in the attribution of these achievements. To meet the requirements for degree application, the degree candidate must be the first or second author/completer of the achievements. If the candidate is the second author/completer, the supervisor or co-supervisor should be the first author/completer.

(I) For academic papers, industry standards, or other achievements where an author/completer may be affiliated with multiple institutions: Full-time doctoral candidates: The affiliation of the first author/completer and the corresponding author must include Harbin Institute of Technology. To meet the degree application requirements, Harbin Institute of Technology should be the primary affiliation of the first author/completer and corresponding author. Part-time doctoral candidates: The affiliation of the first author/completer and the corresponding author must include Harbin Institute of Technology and the entity relevant to their dissertation or practical work.

(II) For patents, awards, or other achievements where an author/completer may only be affiliated with only one institution: Full-time doctoral candidates: To meet the degree application requirements, the affiliation should be Harbin Institute of Technology. Part-time doctoral candidates: The affiliation should include both Harbin Institute of Technology and the entity relevant to their dissertation or practical work.

The method for recognizing co-first authors/completers and multiple corresponding authors for innovative achievements will be determined by the regulations of the relevant degree evaluation subcommittee.

(III) For jointly trained doctoral candidates, authorship attribution should follow the requirements outlined in (I) and (II). In special cases, separate arrangements may be made through a cross-institutional joint training agreement, and those arrangements will apply.

(IV) For candidates with equivalent academic qualifications for a doctoral degree, at least one journal article closely related to their dissertation or practical work must be co-authored with their supervisor. The article should list Harbin Institute of Technology as the primary affiliation.

Other regulations on achievement attribution and recognition will be established by the degree evaluation subcommittees.

**Article 8** These regulations apply to doctoral students who enrolled in the fall term of 2024 and thereafter. They may also apply to students who enrolled prior to that term, where relevant.

**Article 9** The Graduate School is responsible for interpreting these Regulations.

## 关于博士研究生在攻读学位期间取得成果所有权的规定

哈尔滨工业大学有关科研成果的管理办法规定，哈尔滨工业大学的全体教职工及在校学生，执行学校任务或利用学校物资条件所完成的研究成果，其所有权属于学校。据此，特对哈尔滨工业大学博士研究生在攻读学位期间取得研究成果的所有权作如下规定。

哈尔滨工业大学正式录取的博士研究生，在攻读博士学位期间所取得的有关学术、工程技术方面成果的所有权归哈尔滨工业大学。博士生在结束学业离校前，应将一套完整的研究材料（包括搜集的参考文献，工作中建立的实验装置、实验数据、有关软件、各种技术文献等）交给导师或所在学科。博士研究生在毕业离校后，若发表与博士学位论文工作有关的学术文章，需事先与导师协商，并征得导师同意。若发表文章的主要内容是在博士学位论文工作期间取得的成果，文章的第一署名单位必须为哈尔滨工业大学（注）；若发表文章的部分内容为在博士学位论文期间取得的成果，则署名单位必须有哈尔滨工业大学。博士生在离校后，开发与博士学位论文工作有关的技术产品或申请与博士学位论文工作有关的专利等，则需与导师及学校有关部门共同协商成果所有权问题。对任何违反此规定，侵犯学校合法权益的行为，学校有权追究其法律责任。

注：若第一作者已在其它单位工作，文章可用以下方式署名：

第一作者姓名 1, 2

1— 哈尔滨工业大学； 2—（作者所在工作单位）。

## **Regulations on the Ownership of Achievements Attained by Doctoral Students During Their Studies**

In accordance with the regulations of Harbin Institute of Technology (HIT) on the management of research achievements, all faculty, staff, and enrolled students must adhere to the principle that any research outcomes produced as part of university-assigned tasks or through the use of university resources are the property of the university. On this basis, the following provisions are established regarding the ownership of research achievements obtained by doctoral students during their studies at HIT.

All achievements in research, engineering technology, etc. obtained by officially enrolled doctoral students at HIT during their studies are the property of the university. Prior to graduation and departure from the university, doctoral students are required to submit a complete set of research materials to their supervisor or discipline. These materials include, but are not limited to, collected references, experimental setups developed during their research, experimental data, relevant software, and technical documentation. After graduation, if a doctoral degree holder intends to publish an academic paper related to their dissertation work, they must first consult with their supervisor and obtain approval. If the main content of the paper is based on work conducted during their doctoral studies, Harbin Institute of Technology must be listed as the first affiliation [Note]. If any part of the content is derived from doctoral research, HIT must still be acknowledged as one of the affiliations. In cases where a doctoral degree holder develops technical products or applies for patents related to their dissertation work after graduation, they must consult with their supervisor and the relevant university departments to determine the ownership and attribution of such results. HIT reserves the right to pursue legal action in response to any violation of these regulations that infringes upon the university's legitimate rights and interests.

Note: If the first author has been employed at another institution, the author affiliation should be formatted as follows:

First Author's Name 1, 2

1— Harbin Institute of Technology; 2— [Current employer of the author]



# 哈尔滨工业大学硕士学位论文或者实践成果专家评阅 实施细则

校学位〔2024〕82 号

## 第一章 总 则

**第一条** 为提升硕士研究生学术能力或者专业能力，进一步规范学位论文或者实践成果的专家评阅，保障专家评阅的公正性和客观性，保证硕士学位授予质量，依据《中华人民共和国学位法》、《哈尔滨工业大学学位授予办法》、《哈尔滨工业大学硕士博士学位授予工作实施细则》等文件要求，制定本细则。

**第二条** 学位评定分委员会应当在学位答辩前对我校硕士学位申请人的学位论文或者实践成果组织专家评阅。

## 第二章 评阅方案

**第三条** 学术学位和专业学位须分类评阅。专家评阅采取第三方平台评阅或者学校研究生教育管理系统评阅。

**第四条** 预审通过后，学位评定分委员会组织各学科、专业根据以下情况确定评阅平台：

（一）同等学力学位申请人、超出基本修业年限的学位申请人以及黑龙江省及学校抽检出现“存在问题学位论文”作者的导师此后三年内所指导的学位申请人等，其学位论文或者实践成果须进行第三方平台评阅；

（二）预审后，需根据硕士开题评议结果、中期检查结果和预审结果对硕士学位论文或者实践成果进行排序，以上结果在排序中所占权重分别为百分之十、百分之二十和百分之七十。不同学科、专业分别排序。其中：

1. 非全日制硕士学位论文或者实践成果中，排序在后百分之二十者进行第三方平台评阅；另随机增选百分之二十进行第三方平台评阅；未被选取者进行学校研究生教育管理系统评阅；
2. 全日制硕士学位论文或者实践成果中，排序在后百分之五者进行第三方平台评阅；另随机增选百分之五进行第三方平台评阅；未被选取者进行学校研究生教育管理系统评阅。

## 第三章 评阅要求

**第五条** 评阅专家数量为 2 人。评阅专家应为本学科、专业或者相关学科、专业熟悉硕士学位论文或者实践成果研究内容的、具有硕士研究生导师资格或者具有高级职称的专家。专业学位论文或者实践成果需有一位行业专家评阅，行业专家一般需为获得硕士学位和具有高级职称的专家。

**第六条** 为避免因学术观点分歧等原因导致专家评阅工作中发生不公正现象，学位申请人及其指导教师可以提出硕士学位论文或者实践成果专家评阅需要回避的专家名单，不超过五名专家。

**第七条** 学位申请人应在拟答辩日期前十五天完成硕士学位论文或者实践成果专家评阅申请，提请各学位评定分委员会审核和组织专家评阅。

**第八条** 专家评阅前，各学位评定分委员会应检查硕士学位论文或者实践成果是否符合专家评阅的要求。

#### 第四章 评阅结果及使用

**第九条** 专家评阅结果分为以下几种：

A：成果突出，无须修改或者小修后答辩

B：达到硕士学位论文或者实践成果要求，须进一步修改后答辩

C：基本达到硕士学位论文或者实践成果要求，须较大修改后答辩

D：没有达到硕士学位论文或者实践成果要求，不同意答辩

**第十条** 学位申请人、导师及各学位评定分委员会应充分尊重评阅专家对硕士学位论文或者实践成果提出的意见。专家评阅结果的使用和后续处理，遵照以下几种方式进行：

（一）如2位专家评阅结果均为“D”时，本次学位申请程序终止。

（二）如仅1位专家评阅结果为“D”时，学位申请人应根据专家评阅意见对其学位论文或者实践成果作认真修改，修改时间不少于十五天，具体修改时间由分委员会制定。

修改后上交专家评阅意见修改报告，经指导教师审核通过及学位评定分委员会审核通过后送原评阅结果为“D”的专家进行第二轮评阅，并另行增加一位评阅专家同时进行第二轮评阅。

第二轮专家评阅如结果未出现“D”则可进入答辩程序；如结果仍出现一个“D”，则由学位评定分委员会对硕士学位论文或者实践成果、专家评阅意见及修改报告等材料进行审查，给出处理意见；如结果均为“D”，则本次学位申请程序终止。

（三）如仅1位专家评阅结果为“D”且学位申请人对此专家评阅结果及意见有异议的，可以向学位评定分委员会提出学术复核，须明确提出理由及有关说明。

学位评定分委员会应在受理学术复核申请之日起三十日内，组织专家复核，形成复核决定。

1. 如果同意复核，重新组织专家评阅。重新评阅如结果未出现“D”则可进入答辩程序；如结果仍出现一个“D”，需按照本条（二）项规定进行第二轮专家评阅，修改时间自重新评阅结果给出之日计算；如结果均为“D”，则本次学位申请程序终止。

2. 如果不同意复核，需按照本条（二）项规定进行第二轮专家评阅，修改时间自复核决定给出之日计算。

（四）专家评阅给出两个“C”及以上结果的后续流程要求由学位评定分委员会制定。

（五）专家评阅出现其他结果时，学位申请人提出学术复核，学位评定分委员会需参照本条（三）项规定的流程审查和重新组织专家评阅。重新评阅的结果即为对专家评阅环节进行学术复核的最终结果。

**第十一条** 学位申请人需在答辩前，依照专家评阅意见对学位论文或者实践成果进行认真地修改或者补充，撰写修改说明。修改说明及修改后学位论文或者实践成果经导师审核通过后可进行答辩。答辩委员会需对修改情况和修改后学位论文或者实践成果予以审核。

**第十二条** 本次学位申请程序终止的学位申请人须对学位论文或者实践成果内容进行较大调整或者补充，修改时间不得少于一个月，重新进行预审和专家评阅。如该学位申请人距其申请学位最长年限不足一个月则不再受理该生的学位申请。

**第十三条** 专家评阅意见书可在研究生管理系统中直接打印，加盖所在学院、学部公章后，与其他学位申请材料一并交学校档案馆存档。

## **第五章 附 则**

**第十四条** 各学位评定分委员会需根据本细则要求，按照学科或者专业特点制定学位评定分委员会硕士学位论文或者实践成果专家评阅实施细则。

**第十五条** 硕士学位论文或者实践成果的第三方平台评阅结果将作为各学院、学部年度研究生招生及教育教学工作考核指标，可作为学校优秀硕士学位论文或者实践成果评选的重要依据。

**第十六条** 本细则自 2025 年 1 月 1 日起施行。由校学位评定委员会办公室解释。

# **Rules for Expert Evaluation of Master's Theses or Practical Works of Harbin Institute of Technology**

No. 82 [2024], HIT Academic Degree Evaluation Committee

## **Chapter I General Provisions**

**Article 1** These Rules are established to strengthen the academic and professional development of master's students, further standardize the expert evaluation process for theses and practical works, ensure fairness and objectivity in evaluations, and uphold the standards of master's degree. They are formulated in accordance with the "Academic Degree Law of the People's Republic of China", "Measures for Degree Conferral of Harbin Institute of Technology", and "Rules for Conferral of Master's and Doctoral Degrees of Harbin Institute of Technology", and other relevant regulations.

**Article 2** The academic degree evaluation subcommittees should organize expert evaluations of degree candidates' master's theses or practical works prior to the thesis defense.

## **Chapter II Evaluation Procedures**

**Article 3** Academic and professional degrees must be evaluated separately. Expert evaluations will be conducted either through a third-party platform or HIT Graduate Education Management System.

**Article 4** After the preliminary review, the academic degree evaluation subcommittees will work with each discipline or major to determine the appropriate evaluation platform, based on the following criteria:

(I) Candidates with equivalent academic qualifications, those who exceed the standard study period, and those whose supervisors have previously overseen students whose theses were flagged as "problematic" during random checks conducted in Heilongjiang Province or at the university within the past three years, will have their theses or practical works evaluated on a third-party platform.

(II) Following the preliminary review, master's theses or practical works will be ranked based on the results of the thesis proposal review, mid-term evaluation, and preliminary review, with respective weightings of 10%, 20%, and 70%. Different disciplines and majors will have separate rankings:

1. For theses or practical works of part-time master's students, those ranked in the bottom 20% will undergo evaluation on a third-party platform. Another 20% will be randomly selected for evaluation on the third-party platform. The remaining will be evaluated through the HIT Graduate Education Management System.

2. For theses or practical works of full-time master's students, those ranked in the bottom 5% will undergo evaluation on a third-party platform. Another 5% will be randomly selected for evaluation on the third-party platform. The remaining will be evaluated through the HIT Graduate Education Management System.

### **Chapter III Evaluation Requirements**

**Article 5** An evaluation must involve 2 experts. Evaluation experts should have a thorough understanding of the research content of the master's thesis or practical work within the relevant discipline or profession. They must either hold a master's thesis supervisor qualification or a senior professional title. For a professional degree candidate, one of the experts reviewing the thesis or practical work must be an industry professional, who is expected to hold a master's degree and a senior professional title.

**Article 6** To ensure fairness in the evaluation process and prevent bias from conflicting academic perspectives or other factors, the degree candidate and their supervisor may submit a list of up to five experts to be excluded from evaluating their thesis or practical work.

**Article 7** Degree candidates must submit their application for expert evaluation of their thesis or practical work to the relevant degree evaluation subcommittee at least fifteen days before the scheduled defense date, to allow time for review and arrangement of the expert evaluation.

**Article 8** Before the expert evaluation, each degree evaluation subcommittee must verify that the master's thesis or practical work meets the necessary criteria for the evaluation.

### **Chapter IV Management of Evaluation Results**

**Article 9** Expert evaluation results are categorized as follows:

A: The work exhibits outstanding quality; no revisions or only minor revisions are required before the defense.

B: The work meets the standards for a master's thesis or practical work but needs further revisions to be ready for the defense.

C: The work meets basic standards but requires substantial revisions to be ready for the defense.

D: The work does not meet the required standards and is not acceptable for defense in its current state.

**Article 10** The candidate, their supervisor, and the degree evaluation subcommittee must give full consideration to the expert feedback on the thesis or practical work. The evaluation results should be handled as follows:

(I) If both experts assign a "D", the current degree application process will be terminated.

(II) If only one expert assigns a "D", the candidate must revise their thesis or practical work based on the expert's feedback. The revision period should be at least 15 days, with the specific timeline determined by the subcommittee.

After revisions, the candidate must submit a revision report detailing the changes made, which must be approved by both the supervisor and the degree evaluation subcommittee. The revision report and the updated work will be sent back to the expert who assigned the "D" rating for a second round of evaluation. Additionally, another expert will be selected for the second round of evaluation.

If the second round of evaluation does not result in another "D", the candidate may proceed to the defense. If one of the experts assign a "D", the degree evaluation subcommittee will review the thesis/practical work, expert feedback, and revision report to make further recommendations. If both experts assign a "D", the degree application process will be terminated.

(III) If only one expert assigns a "D" and the candidate disagrees, the candidate may submit a

request for an academic reassessment to the degree evaluation subcommittee, providing clear reasons and supporting details.

The subcommittee should organize a reassessment within 30 days upon receiving the request and make a decision.

1. If the reassessment is approved, a new round of expert evaluations will be conducted. If no expert assigns a “D”, the candidate may proceed to defense. If one of the experts assigns a “D”, Item (II) of this Article will apply, and the revision period will begin on the date the evaluation results are provided. If both experts assign a “D”, the degree application process will be terminated.

2. If the reassessment is not approved, Item (II) of this Article will apply, and the revision period will begin on the date when the decision on reassessment is made.

(I) If both experts assign a “C” or higher, the degree evaluation subcommittee will determine the next steps.

(II) If any other evaluation results occur, the candidate may request an academic reassessment. The subcommittee will then follow the procedures outlined in Item.

(III) of this Article to conduct a review and organize a new round of expert evaluation. The results of this evaluation will be considered final.

**Article 11** Before the defense, the candidate must revise or supplement the thesis or practical work based on expert feedback and prepare a revision report. The revision report and the revised thesis or practical work must be approved by the supervisor before the defense can take place. The defense committee must review the revisions and the revised thesis or practical work.

**Article 12** If the degree application process is terminated, the candidate must make substantial revisions or additions to the thesis or practical work, with the revision period lasting no less than one month. After that, it will undergo another preliminary review and expert evaluation. The degree application will not be accepted if there is less than one month left before the candidate reaches the end of the maximum allowed time for degree application.

**Article 13** The expert feedback forms can be printed directly from the Graduate Management System. After being stamped with the official seal of the relevant school, the forms should be submitted to the university archive along with other degree application materials for record-keeping.

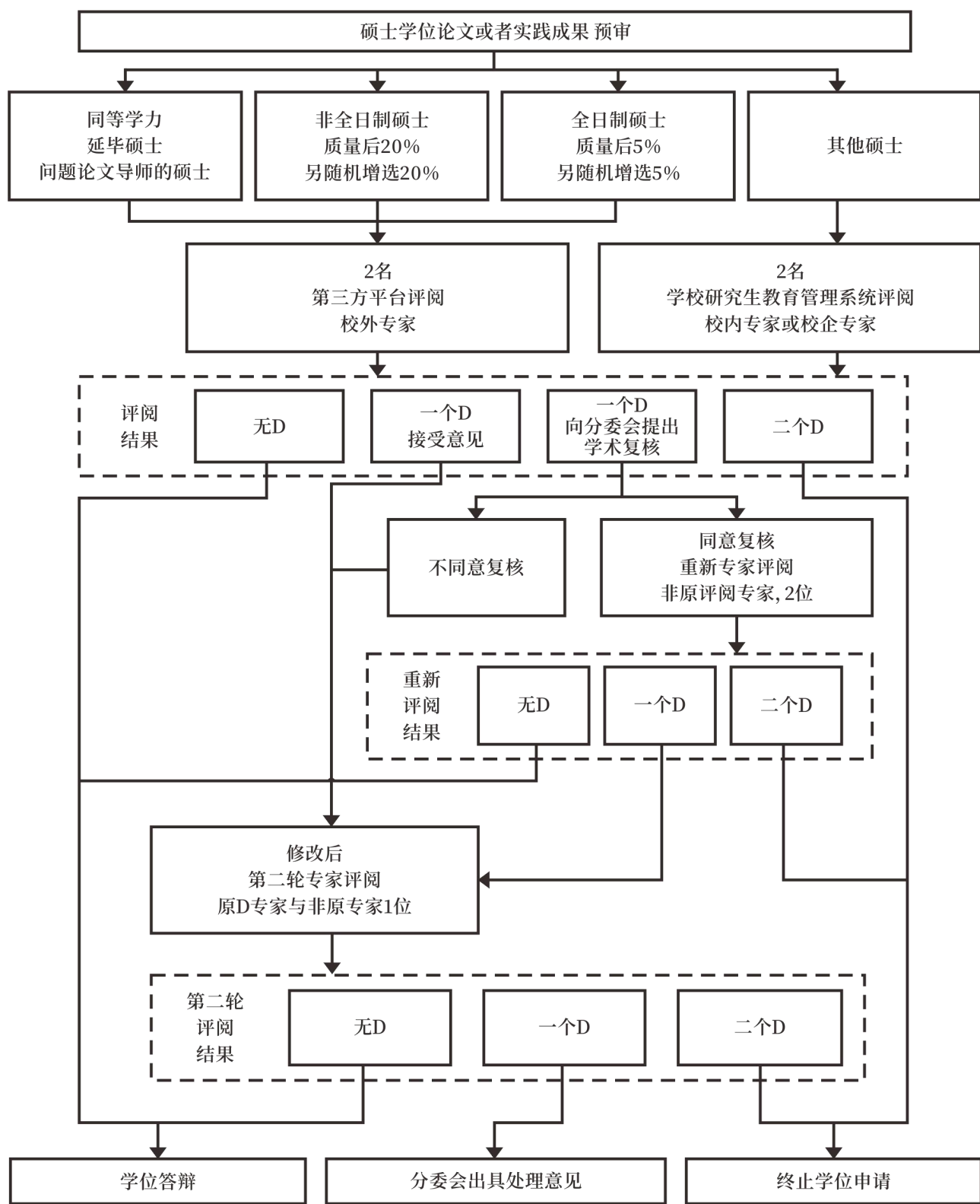
## **Chapter V Supplementary Provisions**

**Article 14** Each degree evaluation subcommittee should, in accordance with the requirements of these Rules and the specific characteristics of their respective disciplines or majors, develop detailed rules for the expert evaluation of master’s theses or practical works.

**Article 15** The results of the third-party platform evaluation for master’s theses or practical work will be used as performance indicators in the annual graduate admissions and educational assessments of each school. These results may also be a key factor in selecting outstanding master’s theses or practical works.

**Article 16** These Rules shall be effective as of January 1, 2025. The Office of Academic Degree Evaluation Committee is responsible for interpretation of this document.

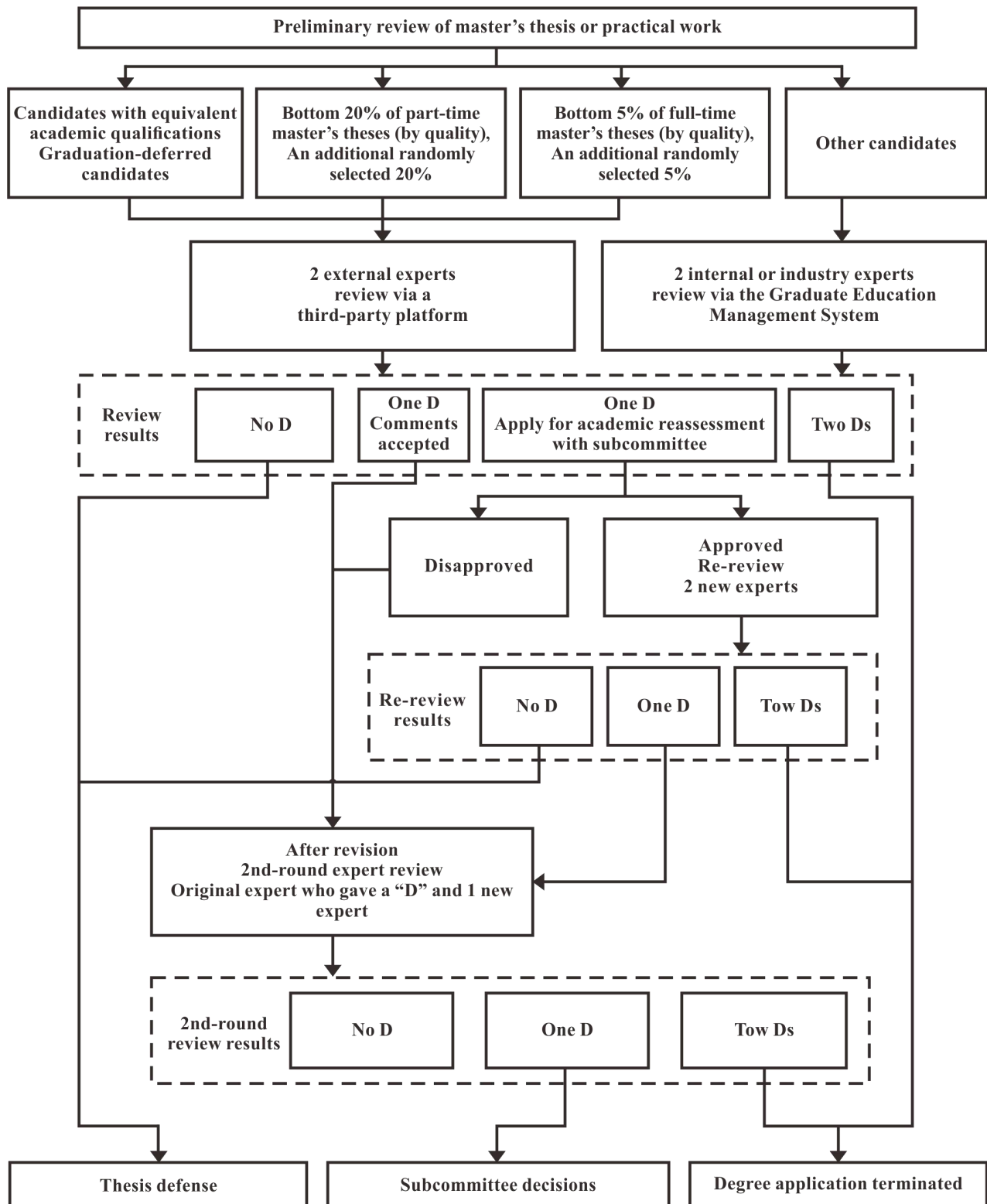
硕士学位论文或者实践成果专家评审流程图



注：重新评阅、第二轮评阅的流程以出现了结果“D”为示例展示，其他结果可相同类比。



## Flowchart for Expert Review of Master's Thesis or Practical Work



**Note:** The procedures for re-review and 2nd-round review are presented here using the occurrence of a “D” result as an example; other outcomes follow a similar process.

# 哈尔滨工业大学博士学位论文或者实践成果专家评阅 管理办法

校学位〔2024〕38号

## 第一章 总则

**第一条** 依据《中华人民共和国学位法》、《教育部关于深入推进学术学位与专业学位研究生教育分类发展的意见》等文件要求，申请博士学位的，学位授予单位应当在组织答辩前，将学位申请人的博士学位论文或者实践成果送专家评阅。为提高博士学位论文或者实践成果水平，保证博士学位授予质量制定本办法。

**第二条** 各学位评定分委员会根据本办法要求，按照学科或专业类别特点制定《博士学位论文或者实践成果专家评阅实施办法》并组织 and 实施。

**第三条** 本办法适用于所有通过博士学位论文或者实践成果预答辩的申请博士学位的申请人。

## 第二章 评阅方式

**第四条** 博士学位论文或者实践成果专家评阅方式包括匿名评阅和署名评阅两种方式，其中匿名评阅需通过教育部学位论文质量检测服务平台评阅。

## 第三章 评阅要求

**第五条** 评阅专家数量不得少于3人，评阅专家应为本学科、专业或者相关学科、专业熟悉博士学位论文或者实践成果研究内容的、具有博士研究生导师资格或具有正高级职称的专家，如果形式为实践成果，则行业评阅专家可为有博士学位且具有高级职称的专家。

**第六条** 非全日制博士研究生、同等学力学位申请人员、留学生、超出学制年限的博士研究生、在国家及学校进行的博士学位论文抽检中出现“存在问题学位论文”的导师所指导的博士研究生，须采用匿名评阅且评阅专家数量不少于5人。近五年国家抽检“存在问题学位论文”的以及新获批的学科和专业须采用匿名评阅。

**第七条** 署名评阅的博士学位论文或者实践成果，其评阅专家信息应在其博士学位论文或者实践成果中予以公开。

**第八条** 署名评阅的专业学位申请人的评阅专家中应至少1位来自相关行业领域。

**第九条** 涉密博士学位论文或者实践成果采用纸质版评阅，各学位评定分委员会应选择校保密委员会认定具有保密资质的高校、研究所或企业进行评阅，可以提交不超过5个要求回避的单位名单。

**第十条** 为避免因学术观点分歧等原因导致博士学位论文或者实践成果专家评阅工作中发生不公正现象，学位申请人及其指导教师可以提出博士学位论文或者实践成果专家评阅需要回避的专家名单，不超过 5 名专家。

**第十一条** 学位申请人应在拟答辩日期前 45 天完成博士学位论文或者实践成果专家评阅申请，提请各学位评定分委员会审核和组织专家评阅。

**第十二条** 各学位评定分委员会博士学位论文或者实践成果专家评阅前应检查博士学位论文或者实践成果是否符合同行评阅的要求。

## 第四章 评阅结果分档及使用

### 第十三条 专家评阅结果处理办法

专家评阅意见分为：

- A：创新性成果突出，无须修改或小修后答辩
- B：达到博士学位论文或者实践成果要求，须进一步修改后答辩
- C：基本达到博士学位论文或者实践成果要求，须较大修改后答辩
- D：没有达到博士学位论文或者实践成果要求，不同意答辩

各学位评定分委员会应充分尊重评阅专家对博士学位论文或者实践成果提出的意见。如有 2 位及以上专家评阅意见判定为“D”时，本次学位申请程序终止。如有 1 位专家评阅意见判定为“D”时，学位申请人应根据专家评阅意见对其学位论文或者实践成果作认真修改，修改时间不少于一个月，具体修改时间由分委员会制定，修改后上交各学位评定分委员会自行制定的专家评阅意见修改报告，经其指导教师审核同意及学位评定分委员会审核同意后送原专家评阅，是否另行增加新评阅专家由学位评定分委员会制定。再次专家评阅通过即可进入答辩程序，如再次专家评阅返回评阅意见中有“D”，则由学位评定分委员会对博士学位论文或者实践成果、专家评阅意见及修改报告等材料进行审查，给出处理意见。

如有 1 位专家评阅意见判定为“D”时，如学位申请人对专家评阅意见“D”结论有异议的，可以向学位评定分委员会提出学术复核，须明确提出理由及有关说明，学位评定分委员会应在受理学术复核申请之日起三十日内，组织专家复核，做出复核决定，如果复核同意，重新组织专家评阅，具体评阅专家数量由各学位评定分委员会自行制定。再次专家评阅返回评阅意见均为“C”及以上，则可以申请答辩；再次专家评阅返回评阅意见有“D”，则本次学位申请程序终止。如果复核不同意，需按照上文规定对论文进行认真修改，修改时间自复核决定给出之日计算。

其他专家评阅结果处理规定由学位评定分委员会制定。**第十四条** 学位申请程序终止的学位申请人须对学位论文或者实践成果内容进行较大调整或补充，修改时间不得少于 6 个月，重新进行预答辩。如该学位申请人学位申请时限不足 6 个月则不再受理该生的预答辩申请。

**第十四条** 专家评阅意见书可在研究生管理系统中直接打印，加盖所在学院（部）公章后，与其他学位申请材料一并交学校档案馆存档。

## 第五章 附 则

**第十五条** 本办法自 2024 年秋季学期起施行。凡与本办法不一致的，按本办法执行。

**第十六条** 本办法由研究生院负责解释。

# Measures for Expert Evaluation of Doctoral Dissertations and Practical Works at Harbin Institute of Technology

No. 38 [2024], HIT Academic Degree Evaluation Committee

## Chapter I General Provisions

**Article 1** As per the “Academic Degree Law of the People’s Republic of China”, the “Ministry of Education’s Opinions on Promoting the Differentiated Development of Academic and Professional Graduate Education”, and other relevant regulations, institutions authorized to grant doctoral degrees must submit the doctoral dissertations or practical works of degree candidates for expert evaluation prior to organizing the defense. These Guidelines are intended to enhance the quality of doctoral dissertations and practical works, ensuring that the standards for awarding doctoral degrees are consistently maintained.

**Article 2** All Academic Degree Evaluation Subcommittees shall, in line with these Guidelines and taking into account the specific characteristics of their respective disciplines or majors, develop and implement the “Measures for Expert Evaluation of Doctoral Dissertations and Practical Works”.

**Article 3** These Guidelines apply to all doctoral degree candidates who have successfully completed the preliminary defense of their doctoral dissertations or practical works.

## Chapter II Evaluation Methods

**Article 4** Expert evaluations of doctoral dissertations and practical works can be performed either anonymously or under the evaluator’s real name. For anonymous evaluations, the process must be conducted through the Ministry of Education’s Thesis/Dissertation Quality Testing Service Platform.

## Chapter III Evaluation Requirements

**Article 5** Each evaluation must be conducted by at least three evaluators, who should possess extensive expertise in the subject matter of the doctoral dissertation or practical work. Evaluators must either have a doctoral supervisor qualification or hold a senior professional title. For practical work evaluations, industry experts with a doctoral degree and senior professional title may also serve as evaluators.

**Article 6** For part-time doctoral students, candidates with equivalent academic qualifications, international students, doctoral students who exceed the standard duration of study, and doctoral students whose supervisors have guided students whose dissertations were flagged as problematic in national or institutional random checks, an anonymous evaluation by at least 5 evaluators is mandatory. Disciplines and majors with dissertations flagged in national audits over the past five years, as well as newly approved disciplines and majors, must use anonymous evaluations.

**Article 7** For real-name evaluations, the identities of the evaluators must be disclosed in the respective dissertations or practical works.

**Article 8** Real-name evaluations for professional degree candidates must include at least 1 expert from the relevant industry.

**Article 9** Confidential doctoral dissertations or practical works must be evaluated in hard copy format. The Academic Degree Evaluation Subcommittees shall choose from institutions approved by the HIT Confidentiality Committee for these evaluations, which may include universities, research institutes, or businesses. The subcommittees can submit a list of up to 5 institutions to be excluded from the evaluation process.

**Article 10** To ensure fairness in the evaluation process and prevent bias from conflicting academic perspectives or other factors, the degree candidate and their supervisor may submit a list of up to 5 experts to be excluded from the evaluation of their doctoral dissertation or practical work.

**Article 11** Doctoral degree candidates must submit their application for dissertation or practical work evaluation at least 45 days before the scheduled defense date to the respective degree evaluation subcommittee for review and expert evaluation.

**Article 12** Before the expert evaluation, the degree evaluation subcommittees must ensure that dissertations or practical works meet the necessary criteria for the evaluation.

## **Chapter IV Management of Evaluation Results**

### **Article 13 Evaluation Results and Subsequent Actions**

The evaluation results are divided into 4 grades:

A: The work exhibits exceptional originality and quality; no revisions or only minor revisions are required before the defense.

B: The work meets the doctoral dissertation or practical work standards but needs further revisions to be ready for the defense.

C: The work meets basic standards but requires substantial revisions to be ready for the defense.

D: The work does not meet the required standards and is not acceptable for defense.

Degree evaluation subcommittees must give full consideration to the expert feedback on the doctoral dissertations or practical works. If two or more experts assign a “D”, the current degree application process will be terminated. If a single expert assigns a “D”, the candidate must revise their dissertation or practical work in accordance with the expert’s feedback. The revision period must be no less than one month, with the specific duration set by the subcommittee. Following revisions, the candidate must submit a revision report to the respective degree evaluation subcommittee. This report must be reviewed and approved by both the candidate’s supervisor and the subcommittee before being forwarded to the original expert for reevaluation. The subcommittee will decide whether additional experts should be involved in the reevaluation. If the revised work passes the

reevaluation, the candidate may proceed to the defense. However, if the reevaluation results in another “D”, the subcommittee will review the dissertation or practical work, the expert feedback, and the revision report, to determine the next steps.

Should the candidate disagree with a “D” rating given by a single expert, they may request an academic reassessment by the degree evaluation subcommittee, providing clear reasons for their request. The subcommittee must conduct the reassessment within 30 days of receiving the request. If the reassessment request is approved, a new evaluation will be conducted by experts chosen by the subcommittee. If all the experts assign a “C” or higher in the reevaluation, the candidate may apply for defense. If any “D” rating is given during the reevaluation, the degree application process will be terminated. If the reassessment request is denied, the candidate must revise their work as required, with the revision period starting from the date the reassessment decision is made.

The degree evaluation subcommittee will determine any additional provisions for handling expert evaluation results.

**Article 14** If the degree application process is terminated, the candidate must make substantial revisions or additions to their dissertation or practical work. The revision period must be a minimum of 6 months, after which a new preliminary defense will be conducted. If fewer than 6 months remain in the degree application period, the preliminary defense application will not be accepted.

**Article 15** Expert feedback forms can be printed directly from the graduate management system. After being stamped with the official seal of the respective school, these forms should be submitted to the university archives along with other degree application materials for record-keeping.

## **Chapter V Supplementary Provisions**

**Article 16** These Measures shall be effective from the fall term of 2024. If there are any discrepancies between these Measures and other documents, the former shall prevail.

**Article 17** The Graduate School is responsible for interpreting these Measures.

# 05

## 附录 Appendix





# 哈尔滨工业大学深圳校区 国际学生居留许可加注勤工助学申请指引

为规范国际学生校外勤工助学活动，保障留学生合法权益，根据《中华人民共和国外国人入境出境管理条例》及《高等学校国际学生勤工助学管理办法》相关规定，结合校区实际情况，制定本指引。

## 一、勤工助学活动的界定

勤工助学是指国际学生在校区的组织和管理下，利用课余时间，在深圳市域内通过合法劳动取得合理报酬，用于改善学习和生活条件的实践活动。不包括校区按照教学计划组织国际学生参加的教学实习和社会实践。

勤工助学禁止国际学生从事任何可能对其身体造成损害或威胁其生命安全的活动，包括但不限于接触有毒有害物质、从事高空作业或进入危险场所等。

国际学生校内勤工助学，岗位设置以校内教学助理、科研助理、行政管理助理和学校公共服务等为主。国际学生校内勤工助学活动的薪酬支出由校区统筹安排。

## 二、校外勤工助学条件要求

国际学生从事勤工助学活动，须满足以下基本条件：

（一）年满 18 周岁，遵守中国法律法规和校纪校规，品行端正、表现良好，在读期间无违反中国法律法规和校规校纪行为。

（二）在中国境内持有有效学习类居留证件，且剩余有效居留时间为六个月以上。

（三）已在学校连续学习一年以上。

（四）上一学期的考勤平均出勤率须达到 80% 以上，本科生必修课/研究生学位课及格以上。

（五）勤工助学单位已在深圳市公安局出入境管理局备案登记。

（六）具备覆盖勤工助学活动的保险。

## 三、办理流程

（一）用人单位和国际学生沟通后，由用人单位出具《哈尔滨工业大学深圳校区国际学生勤工助学聘用协议》（以下简称“协议”）。

（二）国际学生填写《哈尔滨工业大学深圳校区国际学生校外勤工助学申请表》（以下简称“申请表”）。

（三）国际学生持协议和申请表到所在学院进行初审，辅导员老师负责审核，在申请表上签名并加盖学院公章。辅导员老师在审核时应同步征求其他老师意见，研究生的需征求导师意见，本科生的需征求教务老师意见。

（四）国际学生持协议和通过学院/学部初审的申请表到国际教育中心审核。

（五）国际学生持协议、审核通过的申请表以及其他相关材料（录取通知书或在读证明、用人单位担保函、校区担保函、成绩单），于 10 日内向深圳市公安局出入境管理部门申请居留许可加注勤工助学相关信息。持用未加注勤工助学相关信息的居留证不得进行校外勤工助学活动。

#### 四、注意事项

（一）国际学生校内外勤工助学，原则上每周不超过 8 小时，每月不超过 40 小时。寒暑假期间，原则上每周不超过 16 小时，每月不超过 80 小时。

（二）每次申请勤工助学期限不超过学习类居留许可有效期，且最长不超过一年。

（三）勤工助学加注可与居留许可申请同时办理，须提交其他办理居留许可的相应材料。

（四）国际学生因用人单位等原因终止校外勤工助学活动的，应于 10 日内向国际教育中心提交书面报告，并向深圳市公安局出入境管理处办理加注信息变更。

（五）对在勤工助学期间出现以下情况的国际学生，校区将取消其勤工助学资格，并通报公安机关出入境管理部门：

1. 完成学业、肄业、休学或退学的。
2. 违反中国法律法规或校纪校规的。
3. 道德品质低劣、违反社会公序良俗，造成不良影响的。
4. 提供虚假个人信息及勤工助学活动信息的。
5. 因勤工助学影响学业等校区认定已不宜继续勤工助学的其他情形。

（六）勤工助学为自愿参加，学生如在勤工助学过程中发生物品坏损或丢失、与他人冲突、急性疾病、意外事故等，校区不承担因意外伤亡或个人的经济损失而产生的任何法律责任和相关费用。

（七）勤工助学活动过程中遭遇事故或劳动纠纷应及时向所在学院报告；勤工助学单位与当事学生应按协议协商解决，如不能达成一致意见，按照中国现行有关法律法规规定程序办理。



资料来源

## **Guidance on Residence Permit Application for “Work to Support Study” for International Students, HITSZ**

In order to regulate off-campus “Work to Support Study” activities, protect the legitimate rights and interests of international students, this guidance is formulated appropriate to the actual situation of HITSZ and in accordance with the “Exit and Entry Administration Regulation of the People’s Republic of China” and “Measures for the Administration of Work to Support Study for International Students in Institutions of Higher Education Institutions”.

### **Chapter I Definition of “Work to Support Study” Activities**

The term “Work to Support Study” refers to the practical activities organized and managed by the campus, where international students utilize their spare time to engage in lawful labor within Shenzhen and earn reasonable compensation to improve their study and living conditions. It excludes teaching internships and social practices organized by the campus as part of the academic curriculum.

The Work to Support Study programs strictly prohibits international students from engaging in any activities that may harm their physical health or threaten their life safety, including but not limited to exposure to toxic and harmful substances, high-altitude work, or entering hazardous premises.

For on-campus work-study, positions primarily involve teaching assistants, research assistants, administrative assistants, and public service roles within the school. The remuneration for international students' on-campus work-study activities is centrally arranged and allocated by the campus.

### **Chapter II Application Requirements**

To participate in Work to Support Study programs, international students must meet the following basic requirements:

- (I) Be at least 18 years old, abide by Chinese laws and regulations as well as HITSZ rules and regulations, demonstrate good conduct and behavior, and have no record of violating Chinese laws, regulations, or university rules during their enrollment.
- (II) Hold a valid study residence permit within Chinese territory with a remaining validity period of more than six months.
- (III) Have continuously studied at HITSZ for over one year.
- (IV) Maintain an average attendance rate of over 80% in the previous semester, and achieve passing grades in undergraduate compulsory courses or graduate degree courses.
- (V) The Work to Support Study employer must be registered with the Exit and Entry Administration of Shenzhen Public Security Bureau.

(VI) Have insurance coverage for the duration of Work to Support Study activities.

### **Chapter III Application Procedures**

(I) After communication between the employer and the international student, the employer will issue an “Employment Agreement for ‘Work to Support Study’ for HITSZ International Students” (hereafter referred to as “Agreement”).

(II) International students should fill out the “Work to Support Study” Application Form for HITSZ International Students” (hereafter referred to as “Application Form”).

(III) International students should bring the Agreement and Application Form to their respective schools for initial review. The counselor is responsible for the review, signing the Application Form, and affixing the school official seal. The counselor should also consult with other teachers during the review process, including the supervisor for graduate students and the academic affairs administrator for undergraduates.

(IV) The international student brings the Agreement and the approved Application Form from the school/faculty to the International Education Center for further review.

(V) Within 10 days, the international student brings the Agreement, approved Application Form, and other relevant materials (Admission Notice or Certificate of Study, Letter of Guarantee issued by the employer, Letter of Guarantee issued by HITSZ, Academic Transcript) to the Shenzhen Public Security Bureau's Exit and Entry Administration Department to apply for a residence permit endorsement with work-study information. It is not permitted to engage in off-campus work-study activities with a residence permit that does not have the work-study endorsement.

### **Chapter IV Important Notes**

(I) The Work to Support Study hours for international students, both on and off-campus, should not exceed 8 hours per week and 40 hours per month in principle. During winter and summer breaks, the limit is 16 hours per week and 80 hours per month in principle.

(II) Each application for Work to Support Study should not exceed the validity period of the study residence permit and should not last longer than one year.

(III) The endorsement for Work to Support Study can be processed simultaneously with the residence permit application, and the corresponding materials required for the residence permit must be submitted.

(IV) If international students terminate their off-campus work-study due to reasons related to the employer, they should submit a written report to the International Education Center within 10 days and apply for an endorsement information change at the Shenzhen Public Security Bureau's Exit and Entry Administration Department.

(V) HITSZ will cancel the Work to Support Study eligibility of international students who experience any of the following situations during Work to Support Study and notify the exit-entry administration authorities:

1. Completion of studies, discontinuation of studies, suspension, or withdrawal.
2. Violation of Chinese laws and regulations or university rules.

3. Having misconducts that violate moral or social norms and cause adverse impact.

4. Providing false personal and Work to Support Study information.

5. Other circumstances deemed by HITSZ as unsuitable for continuing work to support study due to its impact on academic performance.

(VI) Work to support study participation is voluntary. HITSZ shall not bear any legal liability or related expenses arising from accidental injuries, deaths, or personal economic losses caused by damage, loss of property, conflicts with others, acute illnesses, accidents, etc., during the work to support study process.

(VII) Accidents or labor disputes encountered during work to support study activities should be promptly reported to the student's school. The work to support study employer and the student involved should negotiate a solution based on the agreement. If no agreement can be reached, the matter should be handled according to the procedures stipulated in China's current relevant laws and regulations.



Sourced from Website address:

[http://info.hitsz.edu.cn/content.jsp?urltype=news.NewsContentUrl&wbtr  
eeid=1026&wbnewsid=7067](http://info.hitsz.edu.cn/content.jsp?urltype=news.NewsContentUrl&wbtr<br/>eeid=1026&wbnewsid=7067)



English website of the Harbin Institute of Technology, Shenzhen

[http://en.hitsz.edu.cn/Incoming\\_Students.htm](http://en.hitsz.edu.cn/Incoming_Students.htm)

# Campus Map of HITSZ



## 哈尔滨工业大学（深圳）校园地图

主楼 (H栋) Main Building ( Building H )	国设楼ABC栋 SISD Building A B C	教学楼 V (T5栋) Teaching Building V ( Building T5 )	荔园3号学生公寓 Liyuan Student Apartment No.3
信息楼 (L栋) Info-Tech Building ( Building L )	实训楼 (K栋) Experiment Building ( Building K )	教学楼 VI (T6栋) Teaching Building VI ( Building T6 )	荔园4号学生公寓 Liyuan Student Apartment No.4
社科楼 (B栋) Social Science Building ( Building B )	学术楼(F栋) Academic Building ( Building F )	荔园一食堂 Liyuan Canteen No.1	荔园5号学生公寓 Liyuan Student Apartment No.5
理学楼 (G栋) Sciences Building ( Building G )	活动中心 (J栋) Recreation Center ( Building J )	荔园二食堂 Liyuan Canteen No.2	荔园6号学生公寓 Liyuan Student Apartment No.6
机电楼 (C栋) Mechatronic Engineering Building ( Building C )	教学楼 I (A栋) Teaching Building I ( Building A )	荔园三食堂 Liyuan Canteen No.3	荔园7号学生公寓 Liyuan Student Apartment No.7
材料楼 (D栋) Materials Science Building ( Building D )	教学楼 II (T2栋) Teaching Building II ( Building T2 )	荔园四食堂 Liyuan Canteen No.4	荔园8号学生公寓 Liyuan Student Apartment No.8
水木楼 (E栋) Civil & Environmental Building ( Building E )	教学楼 III (T3栋) Teaching Building III ( Building T3 )	荔园1号学生公寓 Liyuan Student Apartment No.1	荔园9号学生公寓 Liyuan Student Apartment No.9
经管楼(M栋) Management Building (Building M)	教学楼IV (T4栋) Teaching Building IV ( Building T4 )	荔园2号学生公寓 Liyuan Student Apartment No.2	荔园10号学生公寓 Liyuan Student Apartment No.10

### 教室位置说明：

新校区教学楼内教室编码为 “T” + “教学楼号” + “楼层” + “教室编号”，如教室T3402，位于教学楼III，第4层；  
主楼内教室编码为 “H” + “楼层” + “教室编号”，如H408，位于主楼，第4层；  
A栋教学楼教室编码为 “A” + “楼层” + “教室编号”，如A502，位于A栋教学楼，第5层。

- 学校官网：<https://www.hitsz.edu.cn/>
- 教务部官网：<https://due.hitsz.edu.cn/>
- 邮箱：[due@hit.edu.cn](mailto:due@hit.edu.cn)
- 封面设计：未来学部建筑学院 2023级本科生 邹张楚



教务处公众号  
@哈工大深圳教学信息