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## **Hohai University Ph.D. Dissertation Management Measures**

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### **Chapter 1 General**

**Article 1** In order to further standardize the management of **Doctoral dissertation** in our university, and continuously improve the quality of doctoral training, in consideration of the actual situation of our university, these measures are hereby formulated.

#### **Article 2 The academic level that Doctoral students should have**

According to Article 6 of the "**Regulations of the People's Republic of China**", Doctoral students must meet the following academic standards in order to be granted a Doctorate Degree:

- (1) Mastering a solid and broad basic theory and systematic and in-depth expertise in the respective discipline;
- (2) Having the ability to **independently engage in scientific** research;
- (3) Making **creative achievements** in science or expertise.

#### **Article 3 Basic Requirements for Doctoral Dissertation**

- (1) The topic selection and results of the dissertation are of great significance to economic construction in theory or practice.
- (2) The dissertation is correct and rigorous, reflecting that the author has a solid and broad basic theory and systematic and in-depth expertise.
- (3) Obtaining creative results in science or expertise, indicating that the author has the ability to work independently in scientific research. The research results should have reached one of the following standards:

1. **Discover valuable new phenomena, new laws, and new interpretations and new proofs of existing phenomena and laws in the field of research topics engaged;**
  2. Familiar with the latest developments in the research of the subject at home and abroad, improve and develop the latest research results, and have certain academic value;
  3. Engaged in the research of a new research direction in the world. There is still no systematic researches in China, which can systematically new research directions, have its own new theoretical framework, and have made new progress;
  4. Creatively apply existing knowledge to solve key problems in science and technology or engineering technology that have not been solved by previous researchers, and be recognized by experts and implemented;
  5. Propose a new processing method with a high scientific standard, and obtain significant economic benefits in production; should have a major creativity in the design and experimental methods and experimental techniques of the subject.
- (4) The dissertation focuses on theoretical analysis and produces creative results on the basis of theoretical analysis.
- (5) **The dissertation must be completed independently by the Doctoral student under the guidance of the supervisor.**

## **Chapter II Dissertation Work**

### **Article 4 Literature Reading and Summary Report**

After entering the university, doctoral students should read a large number of relevant domestic and foreign literatures and write a literature review report under the guidance of their supervisors according to their chosen research directions and the dissertation requirements.

Literature reading and review report requirements:

- (1) The amount of literature reading should be no less than 80 articles, of which foreign language documents are not less than 50%. Literature reading should be carried out in the frontier issues and cross-cutting areas of the discipline. Some of the literature should be intensively read and cited in literature review reports and dissertations.
- (2) The literature review report is a comprehensive research report closely related to the dissertation based on the literature reading and the preparatory work of the dissertation. It is the basis for the creative research work of doctoral students. The literature review report

strives to be concise the text with the content is substantial, and the number of words is generally **not less than 5,000 words**.

(3) The content of the literature review report should fully reflect the development of the research direction and the latest research results, and draw conclusions from specific regularity, which lead to the doctoral candidate's own academic thoughts and viewpoints, and predict the research trends and applications of this research.

(4) The literature review report needs to be discussed or published within a certain scope.

(5) The literature review report shall be conducted at the latest before the end of the fourth semester after enrollment. **The written materials of the literature review report shall be reviewed by the supervisor and submitted to the college.**

### **Article 5 Selected topics, Dissertation plan and the opening report**

#### (1) Dissertation topic selection

The work of doctoral students should emphasize the close connection with national economic construction and social development. It should be based on important theoretical issues, practical issues, high and new technology, national foundations and major engineering and technical issues in social development and scientific and technological development. **The topic selection of the dissertation should be carried out under the guidance of the supervisor.** Through the extensive work of literature reading and academic research, the main direction of the research should be determined. **The topic of the dissertation should master the following principles:**

1. The topic is a new research direction in science and technology. It is theoretically at the forefront of the discipline. There are not many similar research results at home and abroad. It is expected to obtain important results in basic research and have scientific value.
2. The topic selected is a basic theory or engineering practical problem that the national construction needs to solve urgently; it is a key issue in the scientific and technological research, and it is expected to obtain greater economic and social benefits; or propose a new technology with a standard level of science and technology, new methods, and expected to achieve greater economic benefits.
3. The selected topics are major scientific research projects at or above the provincial and ministerial level, solving key problems in science and technology and engineering technology, and the research level can reach domestic leading.

#### **(2) Dissertation plan and the opening report**

### 1. The purpose of the dissertation plan and the opening report

The dissertation plan and the opening report are the results and significance of the topic selected by the students through the opening report meeting, and the research methods and technical means, working ideas and plans, and expected goals of the selected topics, determined through expert argumentation. The necessity and feasibility of the dissertation work is an important review link for the smooth progress of the dissertation work.

### **2. The main contents of the dissertation plan and the opening report should include:**

- (1) Source of the subject;
- (2) The characteristics, theoretical significance and practical value of the subject;
- (3) Existing research results at home and abroad and current research trends;
- (4) The basic theory on which the research is based;
- (5) The main content, key technologies, expected innovation points and feasibility analysis of the proposed research;
- (6) The main research methods and technical routes to be adopted;
- (7) Possible difficulties and problems that need to be solved;
- (8) Schedule and other issues that need to be explained.

### **3. Time of the dissertation opening report**

The doctoral dissertation opening report should be completed before the **end of the fourth semester**. After the opening report is passed, the student can enter the paperwork stage and apply for a dissertation defense at least one year later.

PhD students should generally finish scientific and technical novelty-checking before start.

### 4. Dissertation opening report review

The opening report of the doctoral dissertation should be publicly published in the university in the form of academic report meeting. The report will require the peer reviewers with senior professional qualifications in this research area to review the opening report (generally five people, including no more than two deputy professional qualifications), and the report will be hosted by the supervisor. The participating reviewers should put forward specific opinions and suggestions on the selected topic, research methods and technical means, and the work plan of the dissertation. After the opening report is passed, it should form a written document, which will be submitted to the Graduate School after being reviewed by the supervisor and the participating reviewers.

If the group of reviewers judge that the selected topic, research methods, technical means, and work plan are inappropriate, it is necessary to redo the opening report.

After acceptance of the opening report, in principle, no further changes can be made. If there is a major change in the topic of the dissertation, it is necessary to redo the opening report.

#### 5. The opening report of a confidential dissertation

For a classified doctoral dissertation, the confidentiality of the dissertation must be approved before it is opened. The doctoral student himself should submit a confidentiality application before the opening report meeting, and the confidentiality period should be drawn up based on the research project involved in the dissertation. The confidential application shall be submitted to the university security committee for review and also to Graduate School for a record, after being approved by the supervisor and the college.

Only after the completion of the examination and approval of the dissertation with the confidentiality level, the opening report meeting can be carried out within a certain scope. The reviewers in the opening review group should be professors (or equivalent). The list of recommendations should be submitted by the supervisor and submitted to the Graduate School after approval by the university secrecy committee.

For the dissertation that has not completed the confidential examination and approval of the dissertation opening report, in principle, the application for confidentiality of the dissertation may not be filed. In special cases, the application for confidentiality can be filed at the latest before the mid-term examination of the dissertation, and the corresponding confidentiality procedures should be reissued.

#### **Article 6 Mid-term examination of the dissertation**

In the middle of the doctoral dissertation work, the doctoral student shall make an interim report to the review group, report the progress of the paper work and the results in phases, propose the next phase of the plan and measures, and submit a written report to the reviewers for consideration. To hold an academic report meeting on campus, the report will need to employ peer reviewers with a senior qualification in this research field to review the interim report (generally five people, including no more than two deputy qualification), and the report will be hosted by the supervisor. The participating reviewers should submit their pertinent opinions and suggestions to the report. After the adoption of the interim report, the dissertation should form a written document, which will be submitted to the Graduate School for review after being reviewed by the supervisor and the participating reviewers.

After the examination and approval has been determined to be a secret degree dissertation, the reviewing expert of the mid-term inspection should be a professor (or equivalent) with the

qualification of confidentiality. **The list of recommendations is proposed by the supervisor, and submitted to the graduate school for approval after approval by the university secrecy committee.**

#### **Article 7: Cultivation of scientific research and scientific research work ability**

Scientific research is the main part of the doctoral dissertation work. Under the guidance of the supervisor, the doctoral student should independently undertake a part of a major scientific research project, or as the main bearer of the scientific research project, and independently undertake the work of key technical issues in the subject of research. According to the work plan of the dissertation, carry out scientific experiments, theoretical analysis and calculations, creatively apply theoretical knowledge and advanced experimental methods, and cultivate strong independent research and work capabilities in research, and achieve important results. While carrying out the work of the dissertation, the student will cultivate the scientific style and spirit of down-to-earth, seeking truth from facts, in-depth and meticulous, and courageous exploration.

#### **Article 8 Academic papers**

The research results should be expressed in the form of academic papers. The writing of academic papers is an important part of the graduate training process. During the period of study, applicants for doctoral degree should publish a number of **content-related academic papers** as the first author (or at most ONE the first author being the supervisor, and the second author being the student), and the first affiliated institution should be Hohai University.

(1) **At least one academic paper should be published in an international academic SCI indexed journal before applying for a doctoral degree in science or engineering;**

(2) Those applying for a doctoral degree in law or management should meet one of the following conditions:

1. **Publish at least one academic paper is published in a foreign academic journal and included in SCI or SSCI or AHCI;**

2. **Publish 2 academic papers included in SCI or EI (at least 1 of which is published in international journal);**

3. **Publish 3 academic papers in the CSSCI search source journal.**

(3) Other equivalent conditions are as follows:

1. Obtaining the National Science and Technology Achievement Award (with personal certificate), exempting the requirements for publication of the paper; obtaining the first prize of provincial and ministerial level scientific and technological achievements or outstanding achievements in philosophy and social sciences (top 5) and second prize (top 3), the third prize (top 2), or the invention patent authorization (each patent must be authorized by all patent inventors, and only one doctoral candidate to apply for a degree with the patent). This is deemed equivalent to publishing the same number of SCI or EI papers.

**2. The results should have “Hohai University” as the first signed institution.**

(4) Academic papers published by doctoral students applying for law and management, which are reproduced in the full text of the copy of the National People's Congress, are regarded as academic papers at the CSSCI journal level. (According to the June 2014, the 11th Third Academic Degree Committee Meeting (201406))

(5) Minutes of the Eleventh Academic Degree Committee Meeting (201412):

The invention patent application degree is no longer used from the 2015 Ph.D.

(6) Minutes of the Fifth Session of the Eleventh Degree Committee (201506) dictate that: The Ph.D. students in law and management should use two academic papers published in CSSCI search source journals and one academic paper included in EI as the basis for applying for a degree.

**If the published paper does not meet the above criteria, the student may not apply for a dissertation defense.** A doctoral candidate must hold a publication that has published his or her own paper, or a journal certificate that has not been published but has been approved for publication, before applying for a defense. A journalist must submit a publication that publishes his or her essay before being granted a degree.

### **Article 9 Compilation of the dissertation**

The dissertation is the main outcome of graduate students engaged in scientific research work. It concentrates on the new inventions, theories or insights obtained by the authors in the research work. It is an important basis for graduate students to apply for degrees, and is also an important documentary and social research field. **The writing of the dissertation should be realistic and plagiarisms are strictly prohibited.**

The dissertation should be written in Chinese (**foreign students can be written in English after being approved**), and **the number of words is 80,000 to 100,000 words**. The content of the dissertation should be correct, reliable, logical, accurate, hierarchical, and concise.

The dissertation does not have to be officially printed when it is submitted for review. After the doctoral student revises and approves the dissertation according to the opinions of the reviewers, (or defense committee), it is printed and archived.

## **Chapter III Dissertation Review**

### **Article 10 Pre-trial review**

The pre-trial work of the doctoral dissertation is a review process that is carried out before the formal submission of the dissertation after completing all the scheduled works and writing the first draft of the dissertation. It plays an important role in further modifying and perfecting the content of the doctoral dissertation and improving the quality of the dissertation.

**After the completion of the first draft of the doctoral dissertation, at least three months before the expected time of the defense, the application for review should be submitted.**

The pre-trial of the dissertation must include three stages: the first review by the supervisor, the pre-defense of the dissertation and the formal review.

(1) The first review by the supervisor. The supervisor should review and propose revisions as required, and make academic evaluations for doctoral students, in aspects pertaining to the cutting-edge and groundbreaking nature of the selected topic, the theoretical basis, expertise and scientific research capabilities of doctoral students, and the authenticity of academic results. And assess whether or not the paper reaches the doctoral dissertation standard and so on

(2) The pre-defense of the dissertation. If the supervisor reviews that the dissertation meets the requirements, the supervisor shall employ at least five professors (or equivalent qualifications) in the field of research to participate in the deliberation. The pre-defense of the dissertation shall be presided over by the supervisor and shall be conducted in the form of a report meeting.

The reviewer group shall review the dissertation according to the actual standard and defense of the paper, the research ability of the doctoral student, and the objectives and the mid-term inspection report of the dissertation opening report. The thesis shall be reviewed according to the standard that the doctoral dissertation should reach. **The doctoral students who pass the pre-defense shall modify the paper according to the opinions put forward by the reviewers to form a draft for review.**



Through the pre-defense, relevant materials that meet the blind review requirements should be sent to the Degree Office of Graduate School 60 days before the expected defense time. The relevant materials of the confidential papers should be sent to the Degree Office 100 days before the scheduled paper defense.

(3) Examination of the form of the dissertation. Before the dissertation is formally submitted for review, the Graduate School shall employ relevant experts to conduct a formal review of the dissertation. **The formal examination time is usually 10 working days. Dissertations that have not passed the formal examination need to be revised and application should be re-submitted.**

### **Article 11 Review of the Dissertation**

(1) **The doctoral dissertation must be reviewed before the defense.** Applicants may not submit a dissertation defense before the review comments are returned.

(2) The dissertation review process implements the anonymity system, that is, the relevant information including the author and the supervisor, and those of the reviewers are concealed.

(3) The review of doctoral dissertation is conducted by means of communication review, and **the Graduate School is responsible for the submission of the dissertation.**

(4) **According to the subject specialty and research direction of the applicant's dissertation, the Graduate School employs no less than three external reviewers** (non-stakeholders) with doctoral qualifications. Graduate students and their supervisors can propose up to one institution and two reviewers who they wish to avoid in the dissertation review. For the dissertation that has been determined to be classified, the list of reviewers recommended by the supervisor or the college (not less than 6) shall be submitted to the Graduate School for review after review by the university's confidentiality committee.

(5) **The review time of the regular dissertation is generally not less than 30 working days. The review time of a confidential dissertation is generally not less than 60 working days.**

(6) The reviewers' conclusions on the appraisal of the applicant's doctoral dissertation are divided into: **"Achieve, agree to organize the defense"**, "Generally achieved, slightly modified to organize the defense", "Basically achieved, and subject to major revisions and then submitted for review" "Not yet reached, disagree with the organization's reply."

After the review comments are collected, if the review conclusions returned by the reviewer are "agree to organize the defense" and "slightly modified to organize the defense", the replying defense secretary will comprehensively sort out the review comments for the

reference of the defense committee. The doctoral student should carefully revise the dissertation according to the reviewers and can apply for defense after being examined and approved by the supervisor.

### **Article 12 Review of dissertation**

(1) If the reviewer returns a “major revision” or “disagree” in the opinion, the dissertation is subject to “objection”. For the possible objection in the review, the following provisions are made:

1. If there is an objection in the review comments, the applicant needs to postpone the dissertation defense, and revise the dissertation according to the reviewers' opinions (modified time is 3 months). After the revision is completed, the application form of the doctoral dissertation of Hohai University can be filled out and apply for re-evaluation.

2. If there are two or more objections in the review comments (there is at most one “disagree”), the applicant should make full revisions to the dissertation according to the reviewers' opinions (modified time is 6 months). After the revision is completed, the application form of the doctoral dissertation of Hohai University can be filled out and apply for re-evaluation.

3. If two or more of the comments are “disagree”, the applicant should make a comprehensive revision of the paper (modified time is not less than one year). After the revision is completed, the application form of the doctoral dissertation of Hohai University can be filled out and apply for re-evaluation.

(2) If there is only one objection in the review comments and the applicant has any objection to it, the applicant may appeal. The specific procedures are as follows: The applicant should submit a clear reason for the appeal in writing, and fill out the “Appeal Form for Appreciation of Dissent of the Doctoral Dissertation of Hohai University”. After the supervisor signs, submit to the responsible person of the college. The college shall organize 3 or more reviewers to review. If all the reviewers agree with the dissertation and also the degree sub-committee, the dissertation can be sent to 3 or more reviewers by the Degree Office Graduate School for re-evaluation without modification (or slightly modified). After re-evaluation without objection, the candidate can apply for defense.

Special circumstances are applied by the college.

(3) If after the first re-evaluation, the general review opinions of the reviewers still have “major revisions”, but there is no “disagreement”. The dissertation must be revised for 6

months. After the dissertation is revised, the second review can be submitted with the consent of the supervisor. If the results of the first re-evaluation still have "disagreement" or the second re-evaluation results still have objections, this application is invalid.

The results of the re-evaluation could not be returned on time. The dissertation is considered to have reached the level of doctoral dissertation by the college, and Graduate School shall send it to two additional external reviewers.

(4) The reviewers who conduct the re-evaluation in principle shall be the experts who originally filed the objection, except in the case of entering the appeals procedure.

(5) "This application is invalid" means that the degree applicant will start from the work stage of the dissertation

### **Article 13: Dissertation defense**

**If the reviewer has no objections or major objections to the dissertation, the doctoral student may file an application for defense with Graduate School** and determine the date of the defense. The defense is generally arranged as publicly as possible on a working day, and no defense is scheduled during the national statutory holidays and during the winter and summer vacations. The dissertation defense should be used as an academic activity, with the participation of supervisor, teachers also graduate students.

A confidential dissertation approved by the university confidentiality committee may be repudiated in a public manner.

(1) **The composition of the defense committee:**

1. The doctoral dissertation defense committee consists of five or seven people, of which no less than two reviewers are from inside and outside the university. In principle, the institution of the reviewer shall have the right to confer a doctoral degree. The members of the defense committee are composed of doctoral supervisors and professor-level qualifications in the students' respective disciplines.

**2. The chairman of the defense committee must be a professor or an expert with a considerable qualification.**

3. When the defense committee consists of seven members, there shall be no more than one non-professional reviewer from the university and no more than one non-professional reviewer from outside. One of the doctoral supervisors or the associate supervisor may be a member of the defense committee. When the defense committee consists of five members,

there shall be no more than one non-professional reviewer, the supervisor of the applicant or the deputy supervisor may not serve as a member of the defense committee.

4. The defense committee shall have a secretary. This position shall be held by a teacher or scientific researcher with a position of a lecturer (or equivalent qualification) or above in the discipline or with a doctoral degree.

5. The supervisor and the members of the pre-defense group shall propose a list of five or seven people during the pre-defense, and submit to the responsible person of the college for review, the official list shall be approved by the Graduate School.

(2) **The dissertation should be sent to the defense committee for review in advance.**

(3) Defense committee's duties and defense procedures

See Attachment "Responsibilities of Chairman, Members and Secretaries of the Graduate Dissertation Defense Committee" and "Hohai University Graduate Dissertation Defense Procedure".

(4) **The doctoral dissertation defense committee shall decide whether to approve the dissertation, whether it is recommended to grant a degree to vote by secret ballot.**

The resolution of the Defense Committee shall be approved by two-thirds or more of all members.

The Defense Committee shall vote on whether to recommend a dissertation for an excellent dissertation award. Recommendation by two-thirds or more of all members is required to pass a dissertation as an excellent dissertation. **If the resolution of the defense committee is recommended as an excellent dissertation, the said dissertation can be selected as outstanding doctoral dissertation at the university level and the provincial level.**

(5) The dissertation has not been approved after the defense and voting. However, **if the defense committee believes that the dissertation can be further revised and then followed by another defense, it can make a resolution to amend the dissertation in two years, and submit the written materials of the resolution to the Graduate School. If the defense committee has not made a resolution to amend the dissertation or re-defense, the application is invalid.**

(6) The defense committee believes that although the applicant's dissertation has not reached the academic standard of the doctoral degree, but has reached the academic standard of the master's degree, and the applicant has not obtained the master's degree of the discipline, the committee can make a resolution to grant the master's degree and submit to the university's degree committee.

**Article 14 Finalization of the dissertation**

After the doctoral dissertation defense is passed, the author should make a careful revision of the dissertation according to the comments of the defense committee. The dissertation can be officially printed after being reviewed and signed by the supervisor.

**Article 15 A particularly outstanding doctoral students may apply for a defense from the sixth semester.**