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1. Terminology

1.1 The Academic Year

The academic year of the University begins on 1 September and ends on 31 August of the following year. It includes two semesters and two sessions. Normally, the Fall Semester commences in early September and the Spring Semester begins around early February. Each semester has fourteen weeks for scheduled classes. Immediately following the end of the 14th week there is a short study break followed by a week devoted to examinations. There is a one-week break in the Spring Semester around Easter. The Winter Session is scheduled between the two semesters for special academic programs, research symposia, and other activities. The Summer Session bridges the end of the Spring Semester and the beginning of the following Fall Semester. For most students, attendance for the Winter and Summer sessions is not required.

1.2 Degree Program

A degree program is an official program recognized by the University Grants Committee. A degree program constitutes a carefully constructed set of academic requirements, the successful completion of which is recognized by the award of a degree. The degree title appears on official diploma. Each program is given a unique program code. Unless specified otherwise, the term “program” refers to a degree program wherever it appears in this Handbook.

1.3 Research Postgraduate Programs

There are two types of research postgraduate programs offered by the University, one at the master’s level and one at the doctoral level.
Terminology

Master of Philosophy (MPhil) programs are normally several semesters in duration and require a combination of course work and independent research. The specific requirements of each program are given in the Academic Calendar of the University.

Doctor of Philosophy (PhD) programs are normally several years in duration and require a combination of course work and independent research, with major emphasis placed on research. The specific requirements of each program are given in the Academic Calendar of the University.

1.4 Course

A course is the basic unit of instruction at the University and is usually taught in either the Fall or Spring Semester. Courses are offered by all academic departments, the two divisions in the School of Humanities and Social Science, the Language Center as well as the Center for Enhanced Learning and Teaching. All courses are designated by a course code, title and vector; e.g. CIVL 514 Instrumentation Systems for Civil Engineers [2-0-1:3].

1.5 Course Code

Each course is identified by a course code which comprises a four-letter code followed by a three-digit number code. The letter code denotes either the area/program of study or the course offering department. The 44 letter codes currently in use are:

- ACCT  Accounting
- AMCE  Atmospheric, Marine and Coastal Environment
- BICH  Biochemistry
- BIEN  Bioengineering
- BIOL  Biology
- BISC  Biological Science
- BMGB  Global Business
- BTEC  Biotechnology
<table>
<thead>
<tr>
<th>Code</th>
<th>Program Name</th>
</tr>
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<tbody>
<tr>
<td>CENG</td>
<td>Chemical Engineering</td>
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<tr>
<td>CHEM</td>
<td>Chemistry</td>
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<tr>
<td>CIEM</td>
<td>Civil Infrastructural Engineering and Management</td>
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<tr>
<td>CIVL</td>
<td>Civil Engineering</td>
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<td>COMP</td>
<td>Computer Science</td>
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<td>CSIT</td>
<td>Information Technology</td>
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<td>Electronic Commerce Management</td>
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<td>ECON</td>
<td>Economics</td>
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<tr>
<td>EEMT</td>
<td>Engineering Enterprise Management</td>
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<tr>
<td>EESM</td>
<td>Electrical and Electronic Engineering Self-Financed Postgraduate Programs</td>
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<tr>
<td>ELEC</td>
<td>Electrical and Electronic Engineering</td>
</tr>
<tr>
<td>EMBA</td>
<td>Executive MBA Program</td>
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<td>ENGG</td>
<td>School of Engineering</td>
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<td>ESCE</td>
<td>Environmental Science and Engineering</td>
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<td>EVNG</td>
<td>Environmental Engineering</td>
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<tr>
<td>FINA</td>
<td>Finance</td>
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<td>GNED</td>
<td>General Education</td>
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<td>HLTH</td>
<td>Health and Physical Education</td>
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<td>HUMA</td>
<td>Humanities</td>
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<tr>
<td>IBTM</td>
<td>Intelligent Building Technology and Management</td>
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<td>IEEM</td>
<td>Industrial Engineering and Engineering Management</td>
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<td>IMBA</td>
<td>International Executive MBA Program</td>
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<td>ISMT</td>
<td>Information and Systems Management</td>
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<td>LANG</td>
<td>Language</td>
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<td>MARK</td>
<td>Marketing</td>
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<td>Mathematics</td>
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<td>MATL</td>
<td>Materials Science and Engineering</td>
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<tr>
<td>MECH</td>
<td>Mechanical Engineering</td>
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<tr>
<td>MGTO</td>
<td>Management of Organizations</td>
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<tr>
<td>MTMC</td>
<td>Technology Management (Core Courses)</td>
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<tr>
<td>MTMG</td>
<td>Technology Management (Global Logistics Management)</td>
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<tr>
<td>MTMI</td>
<td>Technology Management (Information Technology)</td>
</tr>
<tr>
<td>PHYS</td>
<td>Physics</td>
</tr>
</tbody>
</table>
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SBMT  School of Business and Management
SCED  Science/IT Education
SOSC  Social Science

The last two digits of the number code represent a departmental coding series while the first digit indicates the course level:

0 = Introductory courses which are designed for undergraduate students without an advanced-level (AL) background in the subject area
1 = Undergraduate first-year level courses
2 = Undergraduate second-year level courses
3 = Undergraduate third-year level courses
5 = Postgraduate courses
6 = Postgraduate courses usually in the form of seminars, independent studies, reading courses or master research
7 = Postgraduate courses usually in the form of doctoral seminars or research

For example, CIVL 514 denotes that it is a postgraduate course offered by the Department of Civil Engineering.

1.6 Course Vector and Credits

Each course is assigned a course vector which indicates the number of instructional hours required and credits to be earned. The course vector is presented in the form of [L-T-Lab:C] where

L = lecture hours per week
T = tutorial, seminar or recitation hours per week
Lab = laboratory or field study hours per week
C = number of course credits

For example, a course vector of [3-1-2:3] denotes a course that requires 3 lecture hours, 1 tutorial/seminar/recitation hour, and 2 laboratory/field study hours each week, and carries 3 credits.
The credit value of a course depends on the required scheduled hours of instruction. Normally, one credit is designated for one lecture hour, one tutorial hour or three laboratory hours per week. Some sessions will be given less credit per hour if certain scheduled hours such as tutorials reduce the non-scheduled work expected of students.
2. Admission

2.1 Admission Requirements

Applicants seeking admission to an MPhil degree program should have obtained a bachelor’s degree from this University or a recognized institution, or obtained an approved equivalent qualification; and satisfied the school and department concerned as to their fitness as well as their English ability to pursue postgraduate study.

To be eligible for admission to a PhD degree program, applicants should normally have obtained a master’s degree from this University or an approved institution, or presented evidence of satisfactory work at the postgraduate level on a full-time basis for at least one year, or on a part-time basis for at least two years; and satisfied the school and department concerned as to their chosen subject of research, as well as their fitness and English ability to undertake the research.

Selected applicants may be invited for interview. Successful applicants will receive an offer of admission from the school or department concerned, and may be required to satisfy specified conditions. Applicants receiving an offer will be expected to accept or decline by a specified date.

2.2 Application for Admission

Application forms for admission to postgraduate programs are available directly from the Admissions, Registration and Records Office of the University. Its contact address is

Director of Admissions, Registration and Records
The Hong Kong University of Science and Technology
Clear Water Bay
Kowloon, Hong Kong
The application form can also be downloaded from the University’s homepage on the World Wide Web at the address http://www.ab.ust.hk/arr under the topic “For Prospective Postgraduate Students – How to Apply”.

The provisional application fee for 2004-05 admission is HK$150. Applications for admission to postgraduate programs in September of the year are normally invited from January onward. Interested persons are strongly advised to apply well before the program closing dates. In order to allow sufficient time to obtain a visa to study in Hong Kong, non-local applicants are encouraged to submit their applications as early as possible and not to delay submission until the closing date. Late applications may be considered, subject to availability of places. Items to be submitted with the completed application form include a one-page statement on study plans and career goals; two letters of recommendation mailed directly to the Director of Admissions, Registration and Records; and officially certified academic transcripts of undergraduate studies (and postgraduate studies, if any). If official transcripts are in a language other than English or Chinese, a certified translation into English must be provided.

2.3 Non-local Applicants

The University welcomes applications from non-local students who are seeking admission to full-time postgraduate studies. Applicants should be aware, however, that competition for admission is such that only very well-qualified candidates will gain admission.

Non-local students should carefully consider the financial aspects of their studies in Hong Kong before applying for admission. Non-local students should note that, in accordance with regulations laid down by the Hong Kong Immigration Department, they are not allowed to work in Hong Kong, part-time or full-time. It is estimated that the tuition fee for 2004-05 academic year may amount to $44,500 per annum (subject to
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review by the HKSAR Government) and accommodation in on-campus postgraduate housing will involve approximately $2,400 a month (excluding utility charges). In addition monies will be needed for subsistence, textbooks, local travel, sports equipment, clothing, and other personal needs. A total of at least $132,000 per academic year is likely to be required for postgraduate study.

Non-local students, including those from the Chinese Mainland, must obtain a student visa in order to study in Hong Kong. Applications should be made well in advance at a Chinese Embassy or Consulate or by writing directly to the Hong Kong Immigration Department, 2/F, Immigration Tower, 7 Gloucester Road, Wanchai, Hong Kong. Applicants will be required to show sufficient financial resources to cover expenses for their period of study. Applicants must also nominate a sponsor who is a resident of Hong Kong, aged over 21, to whom they are known personally. Applicants who have difficulty in nominating a sponsor in Hong Kong may indicate on their visa applications that the University’s Director of Admissions, Registration and Records is willing to act in this capacity.

2.4 Deferred Admission

Under special circumstances, students may apply in writing to the Admissions, Registration and Records Office for deferred admission to a subsequent semester. The requests will be considered on an individual basis by the relevant school/academic department who will notify the applicant of the outcome. All approvals for deferred admission are valid for not more than two semesters, after which re-application for admission to the University must be made.

2.5 Re-admission

Students who have withdrawn from the University may apply for admission into any program of study by following the regular
admission procedures. However, those who are required to withdraw from the University due to failure to meet the prescribed conditions set for re-enrollment at the end of the suspension period, may not apply for re-admission into the same program.

2.6 Transfer of Course Grade and Credits on Resumption of Studies

Students who had previously withdrawn from their program of study at the University but who, after a period of time, are re-admitted to a program of study at the University, may be allowed to transfer their previous course grades and credits to the new program of study. Such a transfer of course grades and credits is restricted to courses which had been completed within five years prior to the resumption of studies at the University. In addition, these credits must not have been used to earn any academic qualifications either at the University or elsewhere.
3. Fees

3.1 Tuition Fees

For MPhil and PhD programs of study in 2003-04:

- Full-time: $42,100 per annum
- Part-time: $21,050 per annum

Tuition fee is payable in two equal installments at the beginning of each semester.

3.2 Partial Fees

Quarter-time fee for research postgraduate students in their final stage of thesis writing:

$5,265 per semester

Research postgraduate students studying beyond the normal period:

50% of the tuition fee paid for that semester will be refunded if all program and residency requirements of the University have been met within the first three calendar months of a semester (Please see Section 3.3 below for details.)

3.3 Refund Policy

Tuition fees paid are normally not refundable.

Research postgraduates who are studying beyond the normal period of their program and have met all program and residency requirements of the University within the first three calendar months of the start of a semester are entitled to a refund of 50% of
the tuition fee paid for that semester. The students must have submitted their completed thesis within the three months period. This refund mechanism is applicable to both full-time and part-time students who have only their research thesis to complete for submission in the last semester of study. Students who have enrolled for courses other than MPhil/Doctoral Thesis Research in the last semester of study are not entitled to the refund.

3.4 Caution Money

Each new student is required to pay a deposit of $300 as caution money on first registration. Charges will be made against this deposit if there are any unpaid claims against the student, such as outstanding library dues. The balance will be refunded if the student leaves the University before graduation. At graduation, the student is required to restore the balance of the caution money to its original level and the full amount of the caution money will be transferred toward the graduation fee.

3.5 Graduation Fee

Upon completion of the program of study and before the degree or diploma is awarded, each student is required to pay a graduation fee of $300. The fee is normally settled by transferring the full amount of the caution money.

3.6 Students’ Union Fee

Students joining the Students’ Union are required to pay an initial entry fee and thereafter an annual subscription. These fees are set by the Union and collected by the University on behalf of the Union. The entry fee, applicable to students admitted for the first time, is $100 and the annual subscription is $100.
3.7 Late Charges

Students may be required to pay late charges for failure to complete certain University procedures by stipulated deadlines. These include overdue library books. Late charges are levied in accordance with the rules and regulations set by the respective offices.

3.8 Charges for On-campus Student Accommodation

Postgraduate Halls:

Single rooms; $15,500 per residential year*

University Apartments:

Single rooms; $2,400 per calendar month (excluding utility charges)

All rooms are air-conditioned and the charges do not include electricity charges for air-conditioning. All charges are paid in advance by installments.


3.9 Other Small Fees and Charges

<table>
<thead>
<tr>
<th>Fee Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transcript fee per copy (excluding registered mail charges)</td>
<td>$50</td>
</tr>
<tr>
<td>Replacement of Student ID Card</td>
<td>$150</td>
</tr>
<tr>
<td>Testimonial fee</td>
<td>$20</td>
</tr>
</tbody>
</table>

* A free copy will be issued to students upon graduation or withdrawal from the University.
4. Scholarship Awards and Financial Assistance

4.1 Postgraduate Studentships (PGS)

The University awards postgraduate studentships (PGSs) to selected full-time research postgraduates who consequently engage in ancillary teaching and/or research duties. In the 2003-04 academic year, the rates of PGSs are $13,500, $14,000 or $14,500 per month. The Terms and Conditions of PGS are provided as Appendix II of this Handbook. The PGS rates for the next academic year are normally announced in the early part of Spring Semester of the previous academic year.

4.2 Scholarships

The University administers a number of scholarships and prizes on behalf of individual and corporate donors. Most are awarded to students, without application, on the strength of academic merit and the recommendations of a school or department. Other scholarships may have conditions specified by the donor. Details are obtainable from the Student Affairs Office or this website: http://www.ust.hk/scholarship.

4.3 Government Student Financial Assistance

Full-time students who have the right of abode in Hong Kong or have resided or have had their home in Hong Kong continuously for three complete years immediately prior to the commencement of their year of study are eligible to apply to the Government Student Financial Assistance Agency for financial aid. Holders of student visas are not eligible, irrespective of their number of years of residence in Hong Kong. Assistance is offered through two schemes:
Local Student Finance Scheme (LSFS)
Under this scheme, means-tested awards are offered in the form of grants and/or loans. Grants are given for tuition fee and academic expenses while loans are for living expenses. The amount awarded is related to family income and financial status. Grants need not be repaid; loans are to be repaid at a relatively low interest rate of 2.5% per annum within a specified period after graduation or upon leaving the University.

Non-means Tested Loan Scheme (NLS)
This scheme offers loans up to the amount of tuition fee to applicants who do not apply for assistance or who fail to receive assistance from the LSFS. It also allows students who receive assistance from the LSFS to obtain loans up to the difference between the maximum assistance and the amount they receive under the LSFS, subject to the NLS loan maximum (equivalent to the tuition fees payable) not being exceeded. Loans awarded are not means-tested. Students are expected to repay the loans at a cost recovery interest rate within a specified period after graduation or upon leaving the University.

Students may apply for assistance from both schemes or either one. Application forms and further details may be obtained from the Government Student Financial Assistance Agency at 12/F Cheung Sha Wan Government Offices, 303 Cheung Sha Wan Road, Kowloon, Hong Kong, or from the Student Affairs Office of the University. Students with financial difficulties are urged to apply for Government assistance as soon as it is open for application.

4.4 University Loans and Bursaries
Students with additional financial needs may apply for loans and bursaries administered by the University. In general, these funds are used to supplement, but not substitute for, Government financial assistance. Details of loans and bursaries are available at the Student Affairs Office.
5. Program Registration

5.1 Definition

Program registration involves payment of tuition and other prescribed fees where appropriate and confirms students’ enrollment at the University. Failure to enroll in the program in any one semester will result in automatic withdrawal from the program and the University, unless a formal approval of Leave from Study has been obtained from the student’s major department. Moreover, a student must be officially registered in the program in the semester when he or she is being considered for graduation from that program.

Each student enrolled in a specific program is subject to the requirements of the major department and the University. Exemption from specific requirements is possible, but only in well justified circumstances and with written permission from the major department.

As a registered full-time student, one may apply for hall residence and financial aid, as well as acquire information about student life and the University.

5.2 Mode of Study

The MPhil and PhD are research degrees, and students in some disciplines may be required to participate in research on a full-time basis.

Students may apply to their department, prior to the beginning of any semester, for transfer from full-time to part-time status or from part-time to full-time status. When such a transfer is allowed, the remaining program requirements will be determined.
Full-time research postgraduate students are expected to be in attendance on a year-round basis. For part-time students, attendance shall be as above except on a part-time basis as defined by the requirements of their programs.

Research postgraduate students who are in their final stage of thesis writing may register in quarter-time mode and pay a reduced tuition fee to maintain their student status, subject to the endorsement of the thesis supervisor and department head/PG coordinator. Eligible students may complete the “Application for Quarter-time Mode of Study of Research Postgraduate Students” (Form RR-39) obtainable from the Admissions, Registration and Records Office (ARRO). Applications have to reach ARRO at least eight weeks before the start of the semester the quarter-time tuition fee is to be effected.

5.3 Duration of Study

The normal period for completing the PhD degree in full-time mode is four years after the first degree with a reduction of one year if a relevant master’s degree is earned prior to entering the PhD program. For the MPhil degree in full-time mode, the normal period of study is two years.

The maximum time allowed for degree completion is five years for the MPhil degree and eight years for the PhD degree.

5.4 Study Commitment

Students admitted to a full-time program of study are expected to study full-time for their programs, and are cautioned that outside work commitments may impede their academic performance.
5.5 Double Registration

Unless prior permission from the Director of Admissions, Registration and Records is obtained, students are not permitted to concurrently register for another program at this University or at another tertiary institution. Student enrollment lists are compared with those of other tertiary institutions from time to time. If students are found to be registered elsewhere, they will normally be required to discontinue their studies at this University.

5.6 Late Registration

Non-local postgraduate students admitted to the University in a particular academic year must complete registration in their programs by the end of the add/drop period in the Fall or Spring Semester. No deferment of registration is granted for more than two semesters. The admission offers made to prospective students who are not able to adhere to the above deadlines will become void. They will have to reapply for admission to the University as new applicants.

5.7 Adherence to the Curriculum

All postgraduate students must adhere to the curriculum of the year of entry throughout their program of study. Departments should, as far as possible, deliver the curriculum advertised unless due to special circumstances, changes to the original curriculum are necessary or advantageous.

5.8 Retention of Student Status at the Beginning of a Semester

Students who submit their theses for examination at least four weeks before the beginning of the following semester, and who are unable to sit for their thesis examinations before the start of
the following semester through no fault of their own, are allowed to retain their student status for a period not longer than four weeks into the following semester. Students have to apply to the Admissions, Registration and Records Office (ARRO) within two weeks after they have submitted their thesis copies to departments for examination purpose.

Those students whose date of submission of thesis copies for examination falls short of the four-week period prior to the start of a semester are not entitled to apply for retention of student status.

During this four-week non-fee paying period, these students are still regarded as students of the University and their Student ID Cards are accordingly validated by ARRO.

The respective thesis examinations should be held within the first three weeks of the new semester, leaving at least one week for the candidates to submit the final version of their thesis.

During the extended period at the beginning of a semester, students who are waiting to sit for their thesis examinations are not entitled to receive postgraduate studentships.

5.9 Registration Beyond Program Completion

Students who have completed their program requirements are not allowed to continue their registration for the same program of study in subsequent semesters.

5.10 Leave from Study

Students are discouraged from interrupting their program of study. With sufficient justification, a student’s major department may approve a Leave from Study of one semester. Requests for Leave from Study for two consecutive semesters require the
approval of the relevant Dean. Leave from Study for more than two consecutive semesters will normally not be considered. Any exceptions to this policy require the approval of the PG Secretariat of the Office of the Vice-President for Academic Affairs.

5.11 Inter-departmental/program Transfer

A student may change from one program of study to another with the permission of the major department to which the student wishes to transfer. If a transfer is approved, that department will determine which credits from the student's former program apply to the new program. Normally, the transfer will not be effected until the following semester. Students who wish to transfer to another program of study in the middle of a semester should obtain the prior approval of the major department and the relevant Dean’s Office. Unless there are extenuating circumstances, requests for program transfers to be effected in the middle of a semester are not supported.

5.12 Program Withdrawal

Students who withdraw or are required to withdraw from the University must complete clearance procedures with the Admissions, Registration and Records Office, the Library, the Student Affairs Office, the Finance Office and the department.
6. Course Registration

6.1 Definition

Course registration deals with the selection of and enrollment in appropriate courses for a specific semester. Course registration for a semester requires approval from the major department. The student’s program registration will be revoked without formal course registration. Students should ensure that they have properly registered in the courses specified for a semester. Students whose names are not on the class enrollment list will not be allowed to sit for examination(s) of the specific course(s) concerned and will not be awarded any grades for the course(s).

Students should acquaint themselves with the general rules for postgraduate course registration and departmental course requirements for the program. They should also read the course description and requirements carefully before selecting a course.

6.2 Course Requirements

Credit requirements for postgraduate programs apply only to course and project work, not to thesis research. For students on research degree programs, unless restricted by program regulations, a maximum of six credits of approved undergraduate courses at the 300-level may be used for postgraduate credit. Of the six credits, no more than three may be from the student’s major department.

For all postgraduate programs, the average course grade obtained for satisfying program requirements must at least be ‘B’.

6.3 Study Load

The normal study load of full-time research degree students is ten
credits per semester whereas the maximum study load for those in part-time mode is eight credits per semester.

### 6.4 Registration in Thesis Research

Students should ensure that they enroll on the appropriate thesis research course when they begin their thesis research work. They should continue registering in the thesis research course until they have submitted their thesis.

### 6.5 Course Repeats

A course with a grade less than C shall not be credited toward a program although it will be reflected in the student’s record. Only two courses (excluding audited courses) in a postgraduate program may be retaken, and each may be repeated only once. The new grade obtained after repeating a course will replace the previous grade in the calculation of the cumulative and graduation grade averages.

### 6.6 Course Add/Drop

Students may make changes to their course enrollment during the add/drop period which is scheduled at the beginning of each semester. Changes made in this period will not be reflected in the student’s record. Requests for adding or dropping courses after the add/drop period will not be accepted except under extenuating circumstances.

### 6.7 Course Withdrawal

After the add/drop period, requests to withdraw from courses will not be considered unless the withdrawal is due to extenuating circumstances beyond the control of the student. Students wishing to request for course withdrawal after the
add/drop period will be required to provide the department with full justification for making the application. The request is first considered by the head of the department, and if supported, then by the dean of the school concerned, and finally the Office of the Vice-President for Academic Affairs. Once the approval is given, the Withdrawal without Penalty Grade ‘W’ is recorded as the course grade.

### 6.8 Course Auditing

With the permission of the course instructor, a postgraduate student, full-time or part-time, may register in a course as an auditor, who attends a course and participates in activities up to and including the writing of the final examination but not receiving a formal grade. Subject to satisfactory completion of requirements set at registration by the course instructor, the designation AU will be recorded on the student’s transcript, otherwise the course will be removed from the registration record. No course credit is given for audited courses. The credit load of audit courses is counted toward the study load of a student.

### 6.9 Course Substitution

Course substitution may be granted if the student can produce evidence, such as a transcript and course syllabus, that a course is equivalent in content and level to another course taken elsewhere, for which a satisfactory grade has been obtained. No credits will be given for the exempted course, and the student will be required to take an approved alternative course.

### 6.10 Credit Transfer

Credit transfer may be granted to students in recognition of studies completed successfully elsewhere. Application must be
made to their major department or program office during their first semester after admission. Students applying for credit transfer must produce evidence, such as a transcript and course syllabus, to illustrate that a course is equivalent in content and level to another course taken elsewhere, for which a satisfactory grade has been obtained. Late applications will not be considered. Conditions on the granting of transfer credits to research postgraduate students are as follows:

- Credits earned at the undergraduate level can only be used for credit transfer purpose if the credits had not been used to earn another academic qualification, and that the course must be at the 300-level or above, and

- Transfer credits cannot be granted in recognition of non-course work experience or research work completed either at the University or at other institutions.

The amount of transfer credits to be granted will be determined by the major department or program office following review of past academic records and the level of equivalence to HKUST courses required. Transfer credits granted will not be included in the calculation of grade averages. In addition, courses approved for credit transfer will not appear on a student’s transcript.

### 6.11 Assessment

**Course Grading**

Grades given in each course are based on student performance in the final examination, tests, essays and reports, presentations and other forms of classroom participation, assignments, and laboratory exercises, although not all these elements may be present in each course. A failing grade in the laboratory component, if any, of a course may result in a failure in the whole course. The instructor in each course will announce the course grading scheme to the class in the first week of lectures. Students will not be given any grades for the course nor be allowed to sit
for the examination of that course if their names are not on the class enrollment list. Final examinations are scheduled following the end of lectures.

**Absence from Final Examinations**

Students who fail to attend a final examination as scheduled will be given zero mark for that examination. If the absence is due to extenuating circumstances beyond the student's control, such as medical emergencies, he or she may apply to the Admissions, Registration and Records Office (ARRO) within one week from the missed examination for a make-up examination to be held. For absence due to medical reasons, the student is required to submit certification issued by a registered medical practitioner. Appropriate documentation would be required for absences due to other reasons.

The ARRO will decide, in consultation with the Office of the Vice-President for Academic Affairs (VPAAO) and the Department or Course Instructor concerned, whether or not the student’s application should be approved. The student will be notified of the result of the application within one week from the date the application is lodged with ARRO. The make-up examination will be held within five weeks after the regular examination period. The format of the make-up examination will be decided by the course instructor concerned.

**Postgraduate Grades**

Students receive a grade in each course in which they are enrolled. Grades range in equal increments from A+ to F. The Pass, Ungraded (P) grade is given only for courses that are indicated in the course description in this Calendar that they will be graded as such. A failed course (graded F) cannot be credited toward a program. The grades C- to D-, and E, are not used in postgraduate courses. For the purpose of calculating the grade averages, numerical grade points are assigned to each course grade, except AU, I, P, PP and W which are not included in the calculation of the grade averages. The grades used are shown in the following table.
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<th>Letter Grades</th>
<th>Grade Points</th>
<th>Definitions</th>
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<tbody>
<tr>
<td>A+</td>
<td>12</td>
<td>Excellent Performance</td>
</tr>
<tr>
<td>A</td>
<td>11</td>
<td></td>
</tr>
<tr>
<td>A-</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>B+</td>
<td>9</td>
<td>Good Performance</td>
</tr>
<tr>
<td>B</td>
<td>8</td>
<td></td>
</tr>
<tr>
<td>B-</td>
<td>7</td>
<td>Marginal Performance</td>
</tr>
<tr>
<td>C+</td>
<td>6</td>
<td></td>
</tr>
<tr>
<td>C</td>
<td>5</td>
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</tr>
<tr>
<td>F</td>
<td>0</td>
<td>Failure</td>
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<table>
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<tr>
<th>Other Grades</th>
<th>Definitions</th>
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</thead>
<tbody>
<tr>
<td>AU</td>
<td>Audited</td>
</tr>
<tr>
<td>I</td>
<td>Incomplete</td>
</tr>
<tr>
<td>P</td>
<td>Pass, Ungraded</td>
</tr>
<tr>
<td>PP</td>
<td>Permitted to Proceed</td>
</tr>
<tr>
<td>W</td>
<td>Withdrawal without Penalty</td>
</tr>
</tbody>
</table>

The Audited (AU) grade will be assigned when an auditing student has completed, to the satisfaction of the instructor, any conditions established at registration as an auditor. If the conditions are not met, the course will be deleted from the student’s record.

An Incomplete (I) grade is used when work is necessarily delayed through no fault of the student, such as a medical problem or an equipment breakdown. This grade must be converted to a regular grade at least one working day before the start of the following semester; otherwise it is converted to F.

When progress in thesis or project work is satisfactory but not scheduled for completion at the end of a semester, the Permitted to Proceed (PP) grade is used. The Withdrawal without Penalty (W) grade is given when a student withdraws from a course after the add/drop period.
Course Registration

Grade Reports
After the examination period, students are required to check their own course grades which are available on the web-based student records system. Course grades will be posted on this web-based system as soon as they become available, but not later than six working days from the last day of the examination period for the semester. Printed grade reports are no longer issued to students.

Grade Review
A student may apply for a grade review in a course in which the student was enrolled in the semester just completed. This request should be made to the department offering the course within two weeks from the day on which grades are posted. If a review is granted, the grading will be reviewed by the course instructor or another member of the departmental faculty within three weeks after the date of grade posting. Any subsequent appeal against the departmental decision must be made to the dean of the school concerned within two weeks of receiving the decision. The dean’s decision is final.

Grade Averages
A grade average (GA) is the average weighted grade obtained in a group of courses where each course is given a weight equal to its credit value. Advanced credits, exchange credits and courses graded AU, I, P, PP or W are omitted from this calculation.

There are three grade averages. The semester grade average (SGA) is the combined grade average covering all courses taken in both the semester and the session immediately following. The cumulative grade average (CGA) is based on all the courses taken by the student which are expected at the time of calculation to be applied toward the graduation requirements in the current program. At graduation, a graduation grade average (GGA) will be calculated from the courses that are presented for an academic award.

All GAs are reported using the closest letter grade, including C- to D- although they are not course grades.
7. Residency Requirements

Normally, a full-time research student is required to be on campus full-time and consequently in such geographical proximity as to be able to participate fully in University activities associated with the program. Residency provides the student with an opportunity to become immersed in the intellectual environment of the University. Also included in residency are periods during which the student’s research requires off-campus field or non-HKUST laboratory work.

Normally, the residency requirement for an MPhil degree is four full-time semesters and that for a PhD degree is eight. In many departments, the semester may include all or part of the subsequent session. A semester of residency of a part-time student counts as a one-half semester of residency. Students who have not completed their thesis work should continue registration on a full or part-time basis, without interruption.
8. Guide on Thesis Supervision

8.1 Appointment of the Thesis Supervisor

On commencement of study, each MPhil student is assigned an interim supervisor. This supervisor works with the student to map out a tentative program of study and research, and to identify a thesis supervisor. The thesis supervisor, when appointed, replaces the interim advisor.

PhD programs focus on original research by the student. Each PhD student has a thesis supervisor who oversees the student’s research.

8.2 Formation, Membership and Roles of a Thesis Supervision Committee

The purpose of having the thesis supervision committee mechanism in place is to ensure the quality of thesis research and to enhance the learning experience of research postgraduate students.

Formation
For MPhil students, the thesis supervision committee is normally formed within their first year of study. The thesis supervision committee for PhD students is normally formed within their second year of study before they attempt their qualifying examination.

In most cases, the formation of a thesis supervision committee is initiated by the thesis supervisor. The student may be consulted in the process. The authority to approve and appoint thesis supervision committees usually rests with the departmental postgraduate studies committee.
**Membership**

MPhil and PhD research is conducted under the general supervision of a thesis supervision committee of at least three faculty members, one of whom is the designated thesis supervisor and committee chairman.

At least one member of the PhD thesis supervision committee must normally have had experience at the University or elsewhere as the designated supervisor of the thesis research work of at least two postgraduate students who have successfully completed their degrees. In addition, at least one member of the Committee must normally have had experience, at the University or elsewhere, in the supervision of at least one PhD student who has successfully completed the degree.

Members on a thesis supervision committee usually have research expertise relevant to the students’ area of study.

**Roles**

Members on a thesis supervision committee should meet regularly with the student under their supervision to ensure that the student’s academic and research progress is satisfactory. The student, the thesis supervisor and the thesis supervision committee are required to complete an annual progress report which serves to document the study progress of the student.

When a thesis supervisor goes on sabbatical leave, he or she will usually continue to supervise his students through various means. In the case of a thesis supervisor leaving the University, another member on the thesis supervision committee may be appointed as a temporary thesis supervisor until a replacement thesis supervisor has been identified.

**8.3 Responsibilities of the Thesis Supervisor**

A thesis supervisor is expected to provide the student with advice at every stage in the planning and conduct of research and
in the writing of the thesis, and to ensure that replacement supervision is available to the student during any significant period of absence. A thesis supervisor is expected to

- provide guidance about the nature of research, the standard expected, the planning of the research program, the review of literature, the selection of course work, and appropriate training in research techniques;

- establish, at the beginning of the student’s research, a framework for supervision, including arrangements for regular meetings. The stages of progress the student is expected to have completed at various points should also be agreed;

- meet with the student regularly following the agreed schedules and with a clear agenda, and be accessible to the student at other appropriate times when he or she may need advice;

- ensure that the student’s research
  - falls within his or her own area of expertise
  - can be completed with the resources available
  - can be completed within the prescribed period of study
  - is suitable for the degree which the student aims to undertake;

- if applicable, discuss any hazards involved in the research work and how these can best be dealt with, ensuring that safety procedures are followed;

- provide advice on the publication of research work, ensuring that attribution is discussed before publication;

- deal promptly with any research problems the student may encounter;
adhere to the schedule for submission of the annual progress report to the Admissions, Registration and Records Office;

advise the student promptly of unsatisfactory progress with regard to any aspect of their study, and put this advice in writing if such unsatisfactory progress is considered likely to interfere with satisfactory completion of the research by the agreed deadline;

guide the student in the preparation of the thesis examination;

identify prospective examiners for the student’s thesis examination committee;

treat students professionally, and ensuring proper credit for their work.

8.4 Responsibilities of the Student

A student is expected to

discuss with his or her thesis supervisor and thesis supervision committee the type and scope of guidance he or she needs, and agree on regular meeting times;

take the initiative in raising problems or difficulties with the supervisor, however elementary they may seem, before they become serious;

attend supervisory meetings well prepared and with a clear agenda for the meeting; and be accessible to his or her thesis supervisor and/or thesis supervision committee during the course of study;

make satisfactory academic and research progress
following the advice of his or her thesis supervisor and thesis supervision committee;

• discuss with and obtain the approval of his or her thesis supervisor regarding any change in the direction of his or her research focus and its implication;

• provide a brief self-evaluation summary report to be attached to the annual progress report for submission to the Admissions, Registration and Records Office through his or her thesis supervisor as part of the annual review process;

• ensure that his or her thesis is completed and submitted within the period stipulated by the University for assessment; and

• abide by the rules and regulations governing postgraduate studies of the University.

• ensure that all work done by others which are used in the thesis is properly acknowledged.

8.5 Relationship Between Thesis Supervisors and Students

The establishment and maintenance of good relationship between the thesis supervisor and student are founded on mutual respect and open communication. A successful relationship relies on the devotion of both the thesis supervisor and the student.

To avoid unnecessary disruption, the student and the thesis supervisor should inform the other party as soon as they are aware that there is a possible change in their status, e.g. a student plans to withdraw from his or her program of study or a thesis supervisor may take sabbatical leave.
In the event that a good working relationship has failed to develop and that the student and/or the thesis supervisor believes that, for this reason, satisfactory study progress cannot be made, either party may approach the PG coordinator of the department for advice. The PG coordinator should, in consultation with the head of department, consider the matter carefully. If appropriate, they may recommend a change of the thesis supervisor.
9. PhD Qualifying Examination

Students enrolled on PhD programs are required to pass a qualifying examination within a stipulated period in order to progress in the program. The qualifying examination may be conducted through the oral or written mode, or both. Those who fail the qualifying examination after two attempts are not allowed to continue with their doctoral studies. Individual programs may have stipulations concerning the minimum and maximum periods that students should take the qualifying examination and when the qualifying examination should be retaken in the case of failure in the first attempt. Such requirements should be made known to all doctoral students at the time they commence their program of study.
10. Progress Assessment

10.1 Process

The assessment of the academic progress of postgraduate students is the responsibility of the major academic department and should be undertaken at the end of each academic semester. Unsatisfactory performance, such as failing to obtain an overall grade average of B or to demonstrate timely progress toward degree completion within the specified time limit, may result in students being denied the opportunity to continue their studies.

In addition, the thesis supervisor should carefully monitor the student’s progress in thesis research. By a specified time every year, the thesis supervisors are required to submit an annual progress report to the Admissions, Registration and Records Office for records, indicating the percentage of the students’ completed thesis research work.

Departments should counsel students with unsatisfactory performance or progress and consider whether they are likely to successfully complete their programs. Students who are not likely to succeed should be required to take academic leave and suspend their study either for a set period of time or permanently.

10.2 Academic Standing – Progress of Research Postgraduate Students

The academic standing of all postgraduate students is periodically reviewed by their departments. Unsatisfactory performance may result in students being denied the opportunity to continue their studies.

In order for postgraduate students to attain good academic standing, they must
(i) obtain a cumulative grade average (CGA) of B or better, and

(ii) show reasonable progress toward program completion at the end of each semester.

Students who fail to maintain good academic standing in a semester will be issued a letter of warning by the head of department. Students who fail to maintain this standing in two consecutive semesters will have their records reviewed by the department and may be required to take academic leave and have their study at the University suspended. The suspension period will last from one to three semesters during which students may apply for re-enrollment in their program of study at the end of their suspension. If this application is approved, certain conditions may apply and the student must regain good academic standing in the semester immediately following re-enrollment. Students will be required to withdraw from the University if the conditions are not met. If re-enrollment in the program is not granted by the expiry of the suspension period, the suspension will be converted to a required withdrawal from the University.

### 10.3 Annual Progress Reports for Research Postgraduate Students

Departments are requested to complete an annual progress report form for each of their research postgraduate students. This annual reporting exercise serves to monitor and document the study progress of research students. The form can be obtained from ARRO’s Web page (under “Application Forms” for current students) at the following Web site: [http://www.ab.ust.hk/arr/curhom.htm](http://www.ab.ust.hk/arr/curhom.htm). Failure to submit the duly completed report form to ARRO by the 30 June deadline may result in student not being able to register for his or her program of study in the following semester.
The first part of the report form is to be completed by the student who should enclose a brief self-assessment summary report at the time the report form is submitted to the supervisor, while the second part is an assessment of the work done by the student as well as the progress made since the previous report by the thesis supervisor and the thesis supervision committee.

If the progress of a student is found to be unsatisfactory, appropriate action should also be taken, such as the issuance of a warning letter, highlighting the consequences of poor performance. Departments may wish to make reference to the regulations under “Academic Standing – Progress of Postgraduate Students” from the Academic Calendar at http://publish.ust.hk/calendar.

Thesis supervisors are required to discuss the content of the report with their students and let them read the report as one of the main purposes of the annual progress report is to advise students on their research progress, the expectations of the thesis supervision committee and whether their progress is acceptable to the thesis supervision committee. Thesis supervisors should note that terminating the study of a student due to poor performance or slow progress without prior written warning may constitute student grievance.
11. Academic Integrity and Uniform Application of Appropriate Research Practices

11.1 Academic Integrity

Academic integrity is basic to the work of all students at the University, and to scholarly and scientific work in general. Central to academic integrity is the presentation of one’s own work as one’s own, the acknowledgement of others’ work, and the truthful reporting of results obtained. Students should acquaint themselves with the University’s policy on academic integrity and discipline.

11.2 Uniform Application of Appropriate Research Practices

The University community has a collective responsibility to ensure that proper research practices are carried out in accordance with both international and University standards and regulations at all times, to be vigilant in guarding against serious lapses, and to report violations when they occur.

All research conducted at the University whenever involving animals, human subjects, and safety should be reviewed for research practices. Under the auspices of the Committee on Research Practices (CRP), there are three Panels to review such practices. They are:

- Animal Research Panel
- Human Subject Research Panel
- Safety Panel

The procedures for funded research, the procedures for unfunded research, injunction to withhold research resources, and commercial contracts are given in the Section entitled “Policies Relating to Research and Commercialization” of the Faculty Handbook at http://www.ust.hk/~webaa/fh2001/index.htm.

12.1 Intellectual Property Policies

The University has established policies defining the characteristics, development, procedures, responsibilities, and ownership of intellectual property for students, faculty and staff. Policies are organized into four different areas of interest:

- Copyright
- Patents
- Software, and
- Trade and Service Marks

The information on intellectual property policies is obtainable at the Web site of Technology Transfer Center at https://www.ust.hk/~webttc/RandD/info_um/fintell.htm. As a part of University policy, all students, faculty and staff are required to agree to and abide by these policies as a condition of admission or employment. The University may make changes to these policies from time to time.

12.2 Plagiarism

Plagiarism is defined as the presentation of work which actually originates from other sources as one’s own, for credit in a course or program of study or toward the fulfillment of degree requirements. It includes the presentation in theses, examinations, tests, term papers, and other assignments, of someone else’s work without attribution, including the presentation of someone else’s argument in one’s own words without acknowledgement.
13. Preparation and Submission of Thesis for Examination

13.1 Preparation

The thesis shall conform in layout, binding and presentation to the requirements laid down in the “Guidelines on Thesis Preparation”. General University guidelines require that a thesis should:

- be written in English;

- have a title page giving the thesis title, the student’s full name, the name of the department, the name of the degree for which the thesis is submitted, the name of the University, and the month and year of submission;

- contain a paginated table of contents and a list of references;

- be printed on one side only of international size A4 80 to 90gsm woodfree paper (297mm x 210mm);

- have all textual materials in double line or one-and-a-half line spacing, although long quotations, references and footnotes may be single-spaced;

- be adequately referenced and clearly punctuated; and

- include an abstract of not more than 300 words summarizing the content of the thesis.

Students in the School of Humanities and Social Science who are pursuing research work in the areas of Chinese Studies, and who can demonstrate a need to use Chinese to write their theses should seek prior approval from the School of Humanities and Social Science via their thesis supervisors and the divisional head. If approved, students are also required to produce a translation of
the abstract into English.

Details on the exact format and other requirements of theses can be found in Appendix III of this Handbook.

13.2 Submission

An MPhil student who wishes to appear before a thesis examination committee must indicate to his or her department at least six weeks before the examination, and have delivered to his or her department four thesis copies at least four weeks before the thesis examination. One of these copies will be put on display prior to the thesis examination for perusal by departmental faculty and students, other members of the University community, and members of the public.

The arrangements for PhD students are the same as those for the MPhil students except that seven thesis copies must be delivered to the major department at least four weeks before the thesis examination.
14. Thesis Examination Committee

The thesis examination is mandatory for students enrolled in research postgraduate programs and is conducted by a thesis examination committee. The composition of an MPhil or a PhD thesis examination committee is provided below.

14.1 Composition of an MPhil Thesis Examination Committee

Upon the recommendation of the thesis supervision committee of the candidate being examined, the head of department shall appoint an MPhil thesis examination committee to examine the candidate who has expressed the intention of defending his or her thesis.

An MPhil thesis examination committee shall consist of three faculty members, including

- A Chairman,
- The thesis supervisor of the student, and
- One other faculty member.

Please refer to the “Guidelines on the Appointment and Roles of Chairmen and Examiners of MPhil Thesis Examination Committees” (Appendix VI) for details.

14.2 Composition of a PhD Thesis Examination Committee

Upon the recommendations of the Department and the School, the Associate Vice-President for Academic Affairs (Postgraduate Studies & Academic Research) (AVP-AA(PG)) shall appoint a PhD thesis examination committee to examine the candidate who
has expressed his or her intention of defending a thesis.

A PhD thesis examination committee shall consist of:

- The thesis supervisor of the student,
- Two academic staff members from the student’s major department,
- One academic staff member from outside the department,
- One examiner external to the University who has expertise in the field being examined, and
- A Chairman from outside the School to be nominated by the AVP-AA(PG).

Please refer to the “Guidelines on the Appointment and Roles of Chairmen and Examiners of PhD Thesis Examination Committees” (Appendix VII) for details.
15. Conduct of Thesis Examination

The thesis examination takes place in a single session and comprises four parts, the first two of which are open to all members of the University and to departmental guests. The third part is closed to all but the student and the thesis examination committee, and the fourth is a closed session of the examiners in the absence of the candidate.

The first part is an oral presentation by the student, emphasizing the major elements of the research and the results obtained.

Next is an open questioning period, involving first members of the thesis examination committee, and subsequently, others in attendance. During this part of the examination, all questions are addressed through the chairman and any dialogue limited to the student and the individual questioner.

The third is a closed session involving a less formal discussion between the student and the thesis examination committee on his research. At the end of this part of the examination, the candidate must leave the examination venue.

The fourth and final part is a closed session involving only the thesis examination committee to assess the thesis, and the performance of the candidate. In arriving at a decision, the votes of members of the thesis examination committee carry equal weight. The chairman is responsible for advising the committee the vote of the external examiner *in absentia*, if applicable. A report on the thesis examination is then prepared by the chairman, together with members of the thesis examination committee.

Please refer to Appendix VII for details on the “Guidelines on the Conduct of MPhil and PhD Thesis Examinations”.

16. Outcome of Thesis Examination

A thesis examination can have one of the following results:

- Passed*
- Passed* subject to minor corrections
- Passed subject to major corrections
- Failed but may be resubmitted
- Failed

* The 'Passed with Distinction' category is no longer used from Spring Semester 1995/96 onward.
17. Post-thesis Examination Arrangements

17.1 Passed

If a thesis has been graded “Passed” with no corrections required, a PhD candidate must, within one week, submit four clean unbound original copies of the thesis to his or her department, which will arrange for the appropriate signatures of approval, and forward the signed copies to the Admissions, Registration and Records Office (ARRO) for their action. Of the four finalized copies of the thesis received by ARRO, two are kept by the University Library (one copy for archives and one for reference). The third copy is retained by the department concerned as a record. The fourth copy is sent to University Microfilms, Inc (UMI) in the US for microfilming. When submitting copies of the final version of the thesis, the thesis supervisor must remind the candidate that all four sets of the thesis should be identical and original copies. For MPhil candidates, the arrangement will be the same as that for the PhD candidates, except that three original copies of the thesis are required, instead of four as MPhil theses are not normally forwarded to UMI for microfilming.

17.2 Passed Subject to Minor Corrections

For candidates who have passed their thesis examination but subject to minor corrections, their final thesis copies must be submitted to the University within three months from the date of the thesis examination, or a date specified by the thesis examination committee, whichever is earlier. This requirement is applicable regardless of the mode of registration of the candidate. The corrections are to be made to the satisfaction of the thesis supervisor. The final version of the thesis should be submitted to the thesis supervisor for checking and verification before the clean unbound original copies are submitted to the department to complete the degree requirements.
17.3 Passed Subject to Major Corrections

For candidates who have passed their thesis examination but subject to major corrections, their final thesis copies must be submitted to the University within 12 months from the date of the thesis examination, or a date specified by the thesis examination committee, whichever is earlier. This requirement is applicable regardless of the mode of registration of the candidate. The revised thesis requires the approval of the full thesis examination committee. If the members are satisfied with the revised thesis, they may recommend that a second thesis examination be waived. The revisions should be forwarded to the thesis supervisor and the head of the candidate’s department for endorsement. If a second examination is required, the membership of the thesis examination committee should be the same as that for the first examination, unless otherwise recommended by the candidate’s department.

17.4 Failed But May Be Resubmitted

The result “Failed but may be resubmitted” requires that the entire examination process be repeated, including the re-establishment of the thesis examination committee. At least six months must pass before the thesis can be re-submitted for examination. A candidate who has failed in the second attempt of thesis examination will result in the automatic withdrawal of the candidate from his or her program of study and termination of registration at the University.

17.5 Failed

A “Failed” grade results in the automatic withdrawal of the candidate’s from the program of study and termination of registration at the University.
18. Submission of Final Thesis

18.1 Procedure and Requirement

On successful completion of the thesis examination, an MPhil student must submit three clean unbound original copies of the thesis to the department, which will arrange for the appropriate signatures of approval, and forward the signed copies to the Admissions, Registration and Records Office for their action. When bound, two copies will be retained by the Library and one by the department.

For PhD students, the arrangement is the same as that for MPhil students, except that four original copies of the thesis are required, instead of three.

18.2 Failure to Meet the Deadline for Final Thesis Submission

In the event that a candidate misses the specified deadline for final thesis submission as required by the University or a date specified by the thesis examination committee, whichever is earlier (please refer to Section 17 for details), the candidate will be viewed to have failed to meet the thesis examination requirements of the University and will be deemed to have failed the requirements of the degree program being pursued. If the delay in submitting the final thesis copies is no fault of the candidate, he or she may appeal for an exception to be made for the above rules to be lifted.
19. Graduation, Congregation and Degree Diploma

19.1 Graduation

To be considered for graduation, an MPhil or PhD student must:

- complete the courses specified for the program,
- achieve at least a B average in the courses used to satisfy the program requirements,
- attain a pass in the thesis examination,
- complete the program within the specified time limit, and
- meet the residency requirements of the program.

The Senate has delegated authority to the Committee on Postgraduate Studies (CPS) to consider and approve student graduation from postgraduate programs. All approvals and disapprovals are subsequently reported to Senate for information.

Decisions on student graduation are communicated to schools and departments by the Admissions, Registration and Records Office (ARRO) immediately after the meeting. An official letter certifying the award of degree is issued by ARRO to each graduate after CPS approval.

The official degree diploma is issued only after the annual Congregation.

19.2 Congregation

The final step in the award of degrees is the Congregation, the formal graduation ceremony at which students are awarded their degrees by the Chancellor or a person appointed by the
Graduation, Congregation and Degree Diploma

Chancellor. This graduation ceremony is held in the Fall of each year at a time and place determined by the University.

Attendance at the Congregation is not compulsory. The degree will be awarded *in absentia* to those graduating students who are not present at the ceremony.

### 19.3 Degree Diploma

Diplomas are distributed to graduates within two months after the Congregation. Diplomas show in Chinese and English the following:

- name of the graduate, in the same words and format as shown on the graduate’s Hong Kong Identity Card, with the surname capitalized and appearing first, followed by a comma and the given names;
- degree title, which is shown the same as the program title, with no option/stream/concentration given; and
- the date of the Congregation.
20. Appeals and Grievance Channels

20.1 Appeals

A student may make an appeal in writing to the relevant Associate Dean responsible for postgraduate studies for matters related to his or her studies.

20.2 Grievance Channels

If a student has any grievance about their program, their thesis work, their study or supervision arrangements, channels are readily available to help them settle their grievance and alleviate their concerns.

When a student encounters any difficulty or has any concern that they feel should be conveyed to or discussed with the University, the first stop should normally be the PG coordinator. If this does not work or is not appropriate for some reason, the next level for voicing grievance is to the head of the department. If the issue cannot be settled satisfactorily in the department, the student may approach the Associate Dean of the school responsible for postgraduate studies for advice. In the event that the issue still cannot be resolved within the school, the next stop is the Associate Vice-President for Academic Affairs (Postgraduate Studies & Academic Research) who represents the Vice-President for Academic Affairs. If the issue-in-question involves existing academic policies, the matter may be referred to the Committee on Postgraduate Studies or Senate for consideration.

In general, if the grievance is of a personal nature, the student may consider talking to a student counselor from the Student Counseling Service and Careers Center of the Student Affairs Office for advice.
Appendices

Appendix I

Committee on Postgraduate Studies

A. Terms of Reference

1. To advise and make recommendations to the Senate on policies and regulations, and to monitor and review procedures, quality and performance relating to postgraduate studies, including, but not limited to:

   (a) general program requirements;
   (b) program development including new programs recommended by School Boards;
   (c) program quality control, including examinations and award of degrees;
   (d) matters from the School Boards relating to postgraduate studies and student appeals;
   (e) selection and admission of postgraduate students;
   (f) collection and maintenance of student records;
   (g) student fees and financial assistance; and
   (h) other matters as may be required by the Senate.

2. To submit to the Chairman of the Senate no later than the 31st of July each year a written report covering the period 1 July - 30 June on the activities of the committee during the previous academic year.

B. Powers

1. To co-opt such additional voting members as may be required but not exceeding one-third of formal Committee membership.

2. To form any working groups as considered necessary.
C. Membership (Information as of 2 July 2003)

Chairman
Appointed by the Chairman of the Senate
Professor Shu-Ming NG

Member and Secretary
Associate Vice-President for Academic Affairs (PG)
Ex-officio – Professor Ting-Cheun PONG

Members
(a) Deans of Schools or designees
   Science – Professor Wan-Keung WONG
   Engineering – Professor Zongjin LI
   Business & Management – Dr Steven J. DEKREY
   Humanities & Social Science – Professor Barry V. SAUTMAN

(b) One representative to be selected by each School Board
   Science – Professor Yong XIE
   Engineering – Professor Mordecai J. GOLIN
   Business & Management – Professor Kevin C. W. CHEN
   Humanities & Social Science – Professor John Z. MA

(c) The Director of Admissions, Registration and Records
   Ex-officio – Mr Robert BRASHEAR

(d) One postgraduate student representative each from the Schools of Science, Engineering, Business and Management, and Humanities and Social Science, to be nominated by the Students’ Union
   Science – Mr LAU Hon Sum, Ray
   Engineering – Mr Avaneesh GUPTA
   Business & Management – Mr YEONG Lung Yuen, Christopher
   Humanities & Social Science – Mr SIU Yu Kwan, Kaxton
Appendices

D. Term

For student members, a staggered term of one or two years, renewable

For others, two years, renewable
Appendix II

Terms and Conditions of Postgraduate Studentships (PGSs) 2003/04

A. Purpose of the Award

1. Postgraduate awards in the form of studentships are allocated to full-time research postgraduate students (RPgs) of the University to provide them with financial assistance for their daily subsistence, tuition fees and other expenses that may incur during the course of their study. The studentship award is provided to ensure that RPgs need not concern themselves with looking for other sources of income to support themselves. Full-time RPgs should devote full efforts to their studies.

2. Awards given are based on academic merit and the suitability of the RPg for the proposed program of study, as is the selection of applicants for admission to postgraduate studies.

3. PGS awards may be funded by the University, research grant secured by faculty members, donations, or a combination of these.

B. Eligibility

Only full-time RPgs of the University are eligible to apply for PGSs. Applicants may simultaneously be recipients of government grants and loans, and these applicants will be treated like all others in the selection process. Holders of other scholarship awards may receive PGSs provided that this does not violate the terms and conditions of the other awards. The studentship is conditional on demonstrated competency in English that satisfies the RPg’s department.
Appendices

C. Administration

The allocation and administration of PGSs to RPgs is the responsibility of the department the RPg is registered with.

D. Amount and Duration of the Awards

1. For RPgs admitted in the 2003/04 academic year, their PGS rate will normally be HK$13,500 a month in their first year of study. However, the actual PGS rate awarded to an RPg will be determined by his or her home department, following the three-point scale of $13,500, $14,000 and $14,500 a month.

2. RPgs admitted before the 2002/03 academic year may continue to receive the flat PGS rate of $15,500 for the 2001/02 academic year until they complete their current program of study. Those admitted in the 2002/03 academic year may follow the three-point scale of $14,500, $15,000 and $15,500 a month as determined by their home department until they complete their current program of study.

3. Single-room accommodation in the University Apartments will be provided to awardees of full PGS. Room rental will be deducted from the PGS award amount. Details of the accommodation arrangements can be obtained from the Student Affairs Office.

4. The University believes that campus living is a desirable part of postgraduate studies. In addition to having easy access to academic and research facilities, the opportunity to interact, in a residential environment, with peers not only stimulates learning but may also lead to long-term friendship and business associations. It also provides opportunities for RPgs to learn to live harmoniously with fellow students of different cultures and background.
5. PGS recipients, who because of extenuating circumstances, have to live off-campus may be given special assistance by the Student Affairs Office on a case-by-case basis.

6. A PGS award commences at the time when an RPg begins his or her studies at the University.

7. PGS may be offered, at the most, for one academic year only. Departments may extend awards to cover July and August, 2004. Awards for the 2004/05 academic year will be reviewed and offered before the beginning of Fall Semester, 2004/05, subject to the availability of funds and satisfactory performance of the awardees.

E. Other Conditions

1. PGS recipients are not employees of the Hong Kong University of Science and Technology, and PGS award is not taxable income.

2. As the provision of PGS award is to ensure that subsistence living of recipients is covered, students should devote full-time efforts to their studies. Recipients of PGS awards should not, therefore, engage in employment, full-time or part-time, with the University or any other employer.

3. During Winter or Summer Sessions, with the approval of the department, a student may engage in full-time research assistantship work within the University. In such cases, the PGS will be temporarily suspended during the period of employment as a research assistant.

4. Non-local students are not allowed to work in Hong Kong, part-time or full-time, as stipulated by Hong Kong Immigration Regulation. They must not engage themselves in the type of employment described in E3 above.
5. Recipients of PGSs may be required to engage in ancillary duties related to teaching or research, which supplement their formal degree programs. The nature of these assignments may change from time to time according to need. However, they are limited to 36 effective hours per month on average, based on 10 months a year. “Effective hours” includes both contact hours and preparation time. In the case of research-related duties, if the duties performed by an RPg is directly related to his or her own research focus or project, the 36-hour limit should not apply. Such duties are not considered to be “work” as mentioned in the preceding paragraph.

6. PGS recipients who are enrolled on research postgraduate programs may have three weeks’ leave in an academic year (1 September to 31 August). This leave is inclusive of Saturdays, Sundays and public holidays that lie within the leave period. Those who arrive late will have their annual leave pro-rated. Unused leave for one year cannot be carried forward to the next academic year. The decision on whether or not a requested leave should be granted rests jointly with the thesis supervisor of the RPg and the departmental PG coordinator.

F. Termination

1. PGS recipients not performing satisfactorily in their program of study, including their ancillary duties, may lose their award, but normally with at least one month’s written notice given by his or her home department.

2. The award of PGS is conditional on the PGS recipient undertaking and continuing full-time postgraduate studies at HKUST. Unauthorized leave will result in the immediate cancellation of the PGS. One month’s advanced notice is not required in such circumstances.
3. The award of a PGS will cease in the month the recipient has completed his or her program of study at the University.
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Appendix III

Guidelines on Thesis Preparation

A. Introduction

1. The guidelines described in this document have been established so that theses are presented in a form suitable for library cataloging and shelving. The document takes its place in the library as a product of original thinking and research, and it is, therefore, designed to appear in a form comparable to published works.

2. This document covers the general rules of format and appearance. Students should consult their Thesis Supervision Committee for specific content requirements.

3. It is the student’s responsibility to read and follow the requirements presented here and to submit documents of the highest quality. The final copies will not be accepted with corrections, insufficient margins, or if they are of such poor quality that reproduced and/or microfilmed copies cannot be made.

4. Because of refinement in requirements, students should not use existing library or departmental copies of theses as examples of proper format.

B. Originality

1. An MPhil thesis shall

   1.1 consist of the student’s own account of his or her investigations;

   1.2 be either a record of original work or of an ordered
and critical exposition of existing knowledge and shall provide evidence that the field has been surveyed thoroughly;

1.3 be an integrated whole and present a coherent argument;

1.4 give a critical assessment of the relevant literature, describe the method of research and its findings and include a discussion on those findings; and

1.5 include a full bibliography and references.

2. A PhD thesis shall

2.1 consist of the student’s own account of his or her investigations and must indicate how they appear to him or her to advance the study of the subject;

2.2 form a distinct contribution to the knowledge of the subject and afford evidence or originality by the discovery of new facts and/or by the exercise of independent critical power;

2.3 be an integrated whole and present a coherent argument;

2.4 give a critical assessment of the relevant literature, describe the method of research and its findings, and include a discussion on those findings, and indicate in what respects they appear to the candidate to advance the study of the subject;

2.5 include a full bibliography and references; and

2.6 be of a standard to merit publication in whole or in part or in a revised form (for example, as a monograph or as a number of articles in learned
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C. Components

1. A thesis should contain the following parts in the order shown:

1.1 Title page, containing:
   ▪ the thesis title
   ▪ the full name of the candidate
   ▪ the degree for which the thesis is submitted
   ▪ the name of the University, i.e. The Hong Kong University of Science and Technology
   ▪ the month and year of submission, e.g. September 2000

1.2 Authorization page

1.3 Signature page

1.4 Acknowledgments

1.5 Table of content, list of figures and tables

1.6 Abstract

1.7 The thesis body

1.8 A thorough bibliography or reference list

1.9 Appendices and other addenda, if any

2. Abstracts

   Every copy of the thesis must have an English abstract. Abstracts must provide a concise summary of the thesis (300 words or less).
3. Acknowledgments

The student is required to declare, in the acknowledgments section, the extent to which assistance has been given by his or her faculty and staff, fellow students, external bodies or others in the collection of materials and data, the design and construction of apparatus, the performance of experiments, the analysis of data, and the preparation of the thesis (including editorial help). In addition, it is appropriate to recognize the supervision and advice given by the thesis supervisor and members of the thesis supervision committee.

4. Final Version

The final version of the thesis must be free from typographical, grammatical and other errors when submitted to the Admissions, Registration and Records Office. While this is the responsibility of the student, supervisors and department heads should not sign off on theses that are not, to the best of their knowledge, error free.

D. Language, Style and Format

1. Language

Theses should be written in English. Students in the School of Humanities and Social Science who are pursuing research work in the areas of Chinese Studies, and who can demonstrate a need to use Chinese to write their theses should seek prior approval from the School of Humanities and Social Science via their supervisors and the divisional head. If approved, their cases will be reported to the Senate Committee on Postgraduate Studies for information. Students are also required to produce a translation of the abstract of their thesis into English.
2. Scripts and Page Format

2.1 A thesis should be presented in a permanent and legible form either in original typescript, plain paper photocopy or a comparably permanent process.

2.2 Paper and print quality are vitally important for successful microfilming and legibility. International A4 80 to 90 gsm woodfree white paper (297mm × 210mm) of good quality should be used for the thesis which should be typed on one side of the paper only. Exceptionally, paper other than international A4 size may be used when the nature of the thesis requires it. Any thesis not typed or printed on the correct size of paper will not be accepted.

2.3 Candidates are encouraged to make double-sided photocopies for the initial submission of the thesis. However, the copies deposited as the final version must be printed on single side only.

2.4 A conventional font, size 12-point, 10 to 12 characters per inch must be used. Double or one-and-a-half line spacing should be used, except for indented quotations or footnotes where single line spacing may be used.

2.5 Margin at the binding edge should be 40mm and other margins should be 25mm. Exceptionally, margins of a different size may be used when the nature of the thesis requires it.

3. Pagination

3.1 Pagination of the body of the text and appendices is to be in Arabic numerals centered at the bottom of the page. The pagination begins with the first page of the first chapter and continues throughout the rest
of the text. Pages with tables, maps, photographs, etc. are to be numbered as well.

3.2 Pagination of materials preceding the body of the text is to be in small Roman numerals centered at the bottom of the page.

4. Footnotes, References and Appendices

These should conform to a scholarly style appropriate to the discipline. Footnotes may be placed at the bottom of the page, at the end of each chapter or after the end of the thesis body. Consistency of formatting for footnotes and references is required throughout the thesis.

5. Figures and Illustrations

Figures, tables, graphs, etc., should be positioned according to the scientific publication conventions of the discipline. Illustrations must be drawn using ink that permits microfilming and high quality photocopying. (For the same reason, color-coding is not ideal for graphs, charts, etc.). Charts, graphs, maps, and tables that are larger than the standard page should be avoided. Overlays must be meticulously aligned and positioned.

6. Photographs

6.1 Photographs may be incorporated into the thesis. High contrast photos reproduce well. Photographs with a glossy finish and photographs with dark backgrounds should be avoided.

6.2 Illustrative materials which cannot be conveniently bound in the text (such as maps and slides) should be packed in such a way that it can be bound with the thesis. If the amount of such materials is substantial, it should be gathered into a supplementary volume and packed in a rigid container similar in format to
the bound thesis. All loose materials should be marked with the candidate’s name and degree for which the work is submitted so that it can be readily linked with the thesis and a list of the loose items should be provided.

7. Additional Materials

Slides, tapes, diskettes, etc. can be included.

E. Thesis Submission

1. Four copies of the thesis for an MPhil degree and seven copies for a PhD degree are to be submitted to the department at least four weeks before the thesis examination. These copies should be unbound.

2. On successful completion of the thesis examination, an MPhil student must submit three original copies, clean and unbound, to the department. When copies of the thesis have been bound, one copy will be kept by the department and two copies will be kept by the Library. For PhD students, the arrangement is the same as that for MPhil students, except that four original copies of the thesis are required. The fourth copy will be forwarded to University Microfilms, Inc (UMI) for microfilming.

F. Copyright

1. Until now, the University’s Copyright Policy does not speak directly to thesis copyright, yet it has become common for students to wish to copyright their theses in their own names.

2. According to the advice of the Vice-President for Research and Development (VP-RD) of July 1999, based on existing
policy, copyright in materials produced by “university-assisted individual efforts” should vest jointly in the University and the Member of the University if significant University support (library and computers excluded) was involved. However, after considering the need for rapid publication to contribute to literature, and the administrative process required, VP-RD had agreed to let the students hold copyright ownership of their thesis.
Appendix IV

Guidelines on Procedures for Scheduling MPhil Thesis Examinations

1. An MPhil student who wishes to appear before a thesis examination committee must indicate to his or her department/division at least six weeks before the thesis examination, and have delivered to his or her department/division four thesis copies at least four weeks before the thesis examination. One of these copies will be put on display prior to the thesis examination for perusal by departmental/divisional faculty and students, other members of the University community, and members of the public. Inadequate notice served for taking the thesis examination may result in required postponement of the thesis examination.

2. No less than six weeks before the thesis examination, the student has to complete Part I of the proforma “Notice of Submission of Thesis for MPhil Thesis Examination Arrangements”. The thesis supervisor has to endorse Part II of the proforma before forwarding it to the PG Coordinator for endorsement.

3. Before endorsing Part III of the proforma, the PG Coordinator should ensure that the student has delivered four copies of his or her thesis to the department/division READY FOR EXAMINATION PURPOSE at least four weeks before the thesis examination. After endorsing Part III of the proforma, the PG Coordinator should submit the proforma to the head of department/division for final approval. The head of department/division is responsible for appointing the MPhil thesis examination committee following the “Guidelines on the Appointment and Roles of Chairmen and Examiners of MPhil Thesis Examination Committees”. The department/division should issue
appointment letters to members on the thesis examination committee. In the meantime, the department/division should distribute the thesis copies to the Chairman and Members of the MPhil thesis examination committee.

4. The duly endorsed proforma should be forwarded to the PG Secretariat of the Office of the Vice-President for Academic Affairs (VPAAO) without delay. The PG Secretariat will check the information provided in the proforma to ensure the arrangements of the thesis examination conform to University guidelines. The proforma will be forwarded to the Examinations and Graduation Section of the Admissions, Registration & Records Office (ARRO) for records and copied to the Safety and Environmental Protection Office (SEPO) for performing safety clearance check where applicable. If deviations from University guidelines are identified, the student’s department/division will be requested to withhold the thesis examination until the clearance of the PG Secretariat has been sought.

5. The Chairmen and Members of the MPhil thesis examination committee are requested to refer to the “Guidelines on the Appointment and Roles of Chairmen and Examiners of MPhil Thesis Examination Committees” and the “Guidelines on the Conduct of MPhil and PhD Thesis Examinations” for details.

6. The student’s department/division is required to send an email reminder to the Chairman and Members of the MPhil thesis examination committee ONE WORKING DAY before the thesis examination is held, specifying the time, date and venue of the thesis examination.

7. If changes are to be made after the proforma “Notice of Submission of Thesis for MPhil Thesis Examination Arrangements” has been filed, the student’s department/division is required to obtain the prior
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approval of the PG Secretariat by writing to pgsec@ust.hk before the changes can be effected. The PG Secretariat will advise the Examinations and Graduation Section of ARRO of the approved changes accordingly.

8. For enquiries regarding the arrangements for scheduling thesis examinations, please contact the PG Secretariat by email pgsec@ust.hk.
Appendix V


1. A PhD student who wishes to appear before a thesis examination committee must indicate to his or her department/division at least six weeks before the thesis examination, and have delivered to his or her department/division seven thesis copies at least four weeks before the thesis examination. One of these copies will be put on display prior to the thesis examination for perusal by departmental/divisional faculty and students, other members of the University community, and members of the public. Inadequate notice served for taking the thesis examination may result in required postponement of the thesis examination.

2. No less than six weeks before the thesis examination, the student has to complete Part I of the proforma “Notice of Submission of Thesis for PhD Thesis Examination Arrangements”. The thesis supervisor should endorse Part II of the proforma and forward it to the head of department/division for a PhD thesis examination committee to be recommended.

3. After the head of the department/division has endorsed Part IV of the proforma regarding the proposed membership of the thesis examination committee, the proforma together with the curriculum vitae of the recommended External Examiner(s) should be sent to the PG Secretariat by FAX (Fax No. 2358-0194).

4. Upon receipt of the yet-to-be completed proforma, the PG Secretariat will check the proposed thesis examination committee membership to ensure that it complies with the “Guidelines on the Appointment and Roles of Chairmen and
Examiners of PhD Thesis Examination Committees”. If the proposed membership is in line with the guidelines, a confirmation email will be sent to the department/division with the deadline of thesis submission specified. If deviations from University guidelines are identified, the student’s department/division will be requested to withhold the thesis examination until the clearance of the PG Secretariat has been sought.

5. Before endorsing Part III of the proforma, the PG Coordinator should ensure that the student has delivered seven copies of his or her thesis to the department/division READY FOR EXAMINATION PURPOSE at least four weeks before the thesis examination.

6. The student’s department/division is responsible for informing the PG Secretariat of the actual date of receiving sufficient thesis copies for examination purpose from the student. If the thesis copies are submitted to the department/division before the thesis submission deadline, the department/division should distribute the thesis copies to all Examiners immediately provided that the membership of the thesis examination committee has been approved by the PG Secretariat. If the student fails to meet the thesis submission deadline, he or she may be required to postpone the thesis examination.

7. On receiving the duly endorsed proforma, the Associate Vice-President for Academic Affairs (Postgraduate Studies & Academic Research) (AVP-AA(PG)) will appoint a Chairman from among a pool of senior faculty nominated by the deans of schools, and issue appointment letters to the Chairman and Examiners of the thesis examination committee. The department/division head of the student will receive a memo issued by the AVP-AA(PG) advising him or her the thesis examination committee has been appointed. The memo is copied to the Associate Dean (PG Studies), the Chairman of the thesis examination committee,
the PG Coordinator of the department/division and the Examinations and Graduation Section of ARRO for information.

8. The Chairmen and Members of the PhD thesis examination committee are requested to refer to the “Guidelines on the Appointment and Roles of Chairmen and Examiners of PhD Thesis Examination Committees” and the “Guidelines on the Conduct of MPhil and PhD Thesis Examinations” enclosed with the appointment letter issued by the AVP-AA(PG) for details.

9. The student’s department/division is required to send an email reminder to the Chairman and Members of the PhD thesis examination committee ONE WORKING DAY before the thesis examination is held, specifying the date, time and venue of the thesis examination.

10. If changes are to be made after the proforma “Notice of Submission of Thesis for PhD Thesis Examination Arrangements” has been filed, the student’s department/division is required to obtain the prior approval of the PG Secretariat by writing to pgsec@ust.hk before the changes can be effected.

11. If the changes take place after the appointment letters have been issued, the department/division concerned is responsible for gaining the consensus of the full thesis examination committee in writing before the request is forwarded to the PG Secretariat for consideration.

12. In the event an Examiner declines AVP-AA(PG)’s invitation to serve on the thesis examination committee, the student’s department/division is responsible for nominating a replacement Examiner for the consideration of the PG Secretariat as soon as possible. Checking the availability of Examiners is the responsibility of the department/division. Liaison with Examiners to make
arrangements for the thesis examination should not be done by the candidate being examined. The PG Secretariat may request the thesis examination to be postponed if the replacement Examiner does not have sufficient time to review the student’s thesis prior to the thesis examination.

13. For enquiries regarding the arrangements for scheduling thesis examinations, please contact the PG Secretariat by email pgsec@ust.hk.
Appendix VI

Guidelines on the Appointment and Roles of Chairmen and Examiners of MPhil Thesis Examination Committees

A. Composition of an MPhil Thesis Examination Committee

1. Upon the recommendation of the thesis supervision committee of the candidate being examined, the head of department/division shall appoint an MPhil thesis examination committee to examine the candidate who has expressed the intention of defending his or her thesis.

2. An MPhil thesis examination committee shall consist of three faculty members, including

   2.1 A Chairman,
   2.2 The thesis supervisor of the student, and
   2.3 One other faculty member.

B. Appointment and Roles

1. Chairman

   1.1 The role of the Chairman, who is also one of the Examiners and must be present throughout the thesis examination, is to ensure that

      1.1.1 The examination is conducted in accordance with the regulations and requirements of the University, and in a fair and unprejudiced manner.

      1.1.2 The questions addressed to the candidate are
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fair and clearly expressed.

1.1.3 The Examiners are all given sufficient opportunity to ask questions and the candidate is given sufficient opportunity to respond to the questions.

1.1.4 In a similar fashion, there is sufficient opportunity of questions from the floor addressed to the candidate.

1.1.5 The recommendations of the individual Examiners are carefully considered, such that an overall recommendation may be arrived at in a fair and unprejudiced manner.

1.1.6 The recommendation of the thesis examination committee reflects the majority view of the Examiners.

1.1.7 The recommendation of the thesis examination committee conforms to the regulations of the University that govern thesis examinations.

1.2 The Chairman may cancel a scheduled thesis examination if on the day of the thesis examination,

1.2.1 there is no sign of the candidate 15 minutes after the scheduled time of commencement of the thesis examination.

1.2.2 there is no show of an Examiner 15 minutes after the scheduled time of commencement of the thesis examination.

1.3 The Chairman should report any irregularities observed during the conduct of the thesis examination to the Associate Vice-President for
Academic Affairs (Postgraduate Studies & Academic Research) immediately after the thesis examination.

2. Examiners

2.1 All members on an MPhil thesis examination committee are voting Examiners who must be present throughout the examination.

2.2 The role of the Examiners includes the following:

2.2.1 Examiners must thoroughly read the thesis prior to the examination, and must critically assess the quality of the research, the originality of the thesis and its impact on the field of study.

2.2.2 Examiners should prepare questions and discussion materials, to be asked of the candidate during the thesis examinations.

2.2.3 As a result of the reading of the thesis and the performance of the candidate in the examination, the Examiners must be satisfied that:

2.2.3.1 The candidate has clearly demonstrated the ability and skills to conduct an intellectual study, and arrive independently at a successful conclusion.

2.2.3.2 The thesis represents either the candidate’s own original contribution to the discipline or well-organized and critical exposition of existing knowledge.

2.2.3.3 The candidate, both verbally and in
writing, is able to present his or her thesis clearly, systematically, and coherently. The candidate has convincingly and lucidly defended his or her thesis.

2.2.4 To arrive at a final assessment of the quality of the thesis and the performance of the candidate, the Examiners, in open consultation with the Chairman, must jointly arrive at a recommendation which reflects the majority view.

2.2.5 The Examiners then adopt the majority decision.

2.2.6 The Examiners should assist the Chairman to prepare a written report recommending the outcome of their assessment of the thesis examination, based on the regulations governing thesis examinations of the University.

C. Special Recommendations

Approval of the PG Secretariat of the Office of the Vice-President for Academic Affairs must be sought in advance if the composition of proposed membership of an MPhil thesis examination committee varies from the above requirements.
Appendix VII

Guidelines on the Appointment and Roles of Chairmen and Examiners of PhD Thesis Examination Committees

A. Composition of a PhD Thesis Examination Committee

1. Upon the recommendations of the department/division and the School, the Associate Vice-President for Academic Affairs (Postgraduate Studies & Academic Research) (AVP-AA(PG)) shall appoint a PhD thesis examination committee to examine the candidate who has expressed his or her intention of defending a thesis.

2. A PhD thesis examination committee shall consist of:

   2.1 The thesis supervisor of the student,
   2.2 Two academic staff members from the student’s major department/division,
   2.3 One academic staff member from outside the department/division,
   2.4 One examiner external to the University who has expertise in the field being examined, and
   2.5 A Chairman from outside the School to be appointed by the AVP-AA(PG).

B. Appointment and Roles

1. Chairman

   1.1 The Chairman, appointed by the AVP-AA(PG), is an academic staff from outside the School selected from a pool of senior faculty holding the rank of Associate Professor/Senior Lecturer or above nominated by deans. The Chairman presides over the examination,
but is **NOT** one of the five voting members. He or she should have had experience in the conduct of PhD thesis examinations.

1.2 The role of the Chairman, who must be present throughout the thesis examination, is to ensure that

1.2.1 The examination is conducted in accordance with the regulations and requirements of the University, and in a fair and unprejudiced manner.

1.2.2 The questions addressed to the candidate are fair and clearly expressed.

1.2.3 The Examiners are all given sufficient opportunity to ask questions and the candidate is given sufficient opportunity to respond to the questions.

1.2.4 In a similar fashion, there is sufficient opportunity of questions from the floor addressed to the candidate.

1.2.5 In the case of the Examiner external to the University not being able to attend the examination, the comments and the questions raised are addressed to the candidate by the Chairman and the responses are reported to the External Examiner after the examination.

1.2.6 The recommendations of the individual Examiners are carefully considered, such that an overall recommendation may be arrived at in a fair and unprejudiced manner.

1.2.7 The recommendation of the thesis examination committee reflects the majority view of the
Examiners.

1.2.8 The recommendation of the thesis examination committee conforms to the regulations of the University that govern thesis examinations.

1.3 The Chairman may cancel a scheduled thesis examination if on the day of the thesis examination,

1.3.1 there is no sign of the candidate 15 minutes after the scheduled time of commencement of the thesis examination.

1.3.2 there is no show of an Examiner 15 minutes after the scheduled time of commencement of the thesis examination.

1.3.3 the External Examiner neither attends the thesis examination in person nor submits a written report prior to the conduct of the thesis examination.

1.4 The Chairman is required to complete a report on the PhD thesis examination and forward it to the AVP-AA(PG) within one week from the date of the thesis examination.

2. Examiners

2.1 There are five voting Examiners on a PhD thesis examination committee, four internal and one external to the University. All internal Examiners must be present throughout the examination.

2.2 Other than the thesis supervisor of the student being examined, at least two other Examiners (including the Examiner external to the University) must hold the rank of Associate Professor/Senior Lecturer or
above. If the thesis supervisor of the student holds a professorial rank, at least one other Examiner must hold a professorial rank and one other Examiner must hold the rank of Associate Professor/Senior Lecturer or above.

2.3 The Examiner external to the University must hold the rank of Associate Professor/Senior Lecturer or above. A person who has been on the teaching staff of HKUST, even in a visiting or adjunct capacity, within three years and anyone who will join the University service before the assessment is completed are not eligible for appointment as External Examiner.

2.4 The role of the Examiners includes the following:

2.4.1 Examiners must thoroughly read the thesis prior to the examination, and must critically assess the quality of the research, the originality of the thesis and its impact on the field of study.

2.4.2 Examiners should prepare questions and discussion materials, to be asked of the candidate in the thesis examination.

2.4.3 As a result of the reading of the thesis and the performance of the candidate in the examination, the Examiners must be satisfied that:

2.4.3.1 The candidate has clearly demonstrated the ability and skills to conduct a major intellectual study, and arrive independently at a successful conclusion.
2.4.3.2 The thesis represents the candidate’s own significant and original contribution to the discipline that is publishable in major international journals.

2.4.3.3 The candidate, both verbally and in writing, is able to present his or her thesis clearly, systematically, and coherently.

2.4.3.4 The candidate has convincingly and lucidly defended his or her thesis.

2.4.4 To arrive at a final assessment of the quality of the thesis and the performance of the candidate, the Examiners, in open consultation with the Chairman, must jointly arrive at a recommendation which reflects the majority view.

2.4.5 The Examiners then adopt the majority decision.

2.4.6 The Examiners should assist the Chairman to prepare a written report recommending the outcome of their assessment of the thesis examination, based on the regulations governing thesis examinations of the University.

2.4.7 An External Examiner, who is unable to attend the thesis examination, should ensure that a written report reaches the Chairman at least five days prior to the conduct of the examination. Included in the report are (a) the comments and questions he or she wishes to raise with the student, (b) his or her
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assessment of the thesis, and (c) his or her decision on the thesis examination. Prior to this submission of the written report, the External Examiner may conduct a telephone interview, or through other means of communication to seek clarification with the candidate. The Chairman of the examination committee will ask the questions on behalf of the External Examiner in absentia in the examination session. If deemed necessary, the candidate may also provide the External Examiner with a written response to the questions raised.

C. Special Recommendations

Approval of the PG Secretariat of the Office of the Vice-President for Academic Affairs must be sought in advance if the composition of proposed membership of a PhD thesis examination committee varies from the above requirements.
Appendix VIII

Guidelines on the Conduct of
MPhil and PhD Thesis Examinations

A. Introduction

1. The thesis examination is mandatory for those enrolled in research postgraduate programs and is conducted by a thesis examination committee.

2. An MPhil thesis examination committee consists of three faculty members appointed by the head of the candidate’s department/division. One is the thesis supervisor and another is appointed as Chairman. Please refer to the “Guidelines on the Appointment and Roles of Chairmen and Examiners of MPhil Thesis Examination Committees” for details.

3. A PhD thesis examination consists of a Chairman and five voting Examiners appointed by the Associate Vice-President for Academic Affairs (Postgraduate Studies & Academic Research). Membership of the committee includes the thesis supervisor, two academic staff members from the candidate’s major department/division, one academic staff member from outside the department/division, and one member external to the University who has expertise in the field being examined. Please refer to the “Guidelines on the Appointment and Roles of Chairmen and Examiners of PhD Thesis Examination Committees” for details.

B. Conduct of Thesis Examination

1. A thesis examination takes place in a single session and comprises four parts, the first two of which are open to all
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members of the University and to departmental/divisional guests, the third part is closed to all but the candidate and the thesis examination committee, and the fourth is a closed session of the thesis examination committee in the absence of the candidate.

2. The first part is an oral presentation by the candidate, outlining the major elements of the research and the results obtained. The candidate is expected to apportion no more than 60 minutes for the presentation.

3. The second part is an open questioning period, involving members of the thesis examination committee, and others in attendance.

4. The third part is a closed session involving a less formal discussion between the candidate and the thesis examination committee on the candidate’s research. Other than the candidate and the thesis examination committee, other personnel are not allowed to attend this part of a thesis examination. However, in exceptional circumstances, with the prior agreement of the candidate, the thesis supervisor and the Chairman of the thesis examination committee, other personnel may be allowed to attend this part of a thesis examination as observers. It should be noted that observers are not permitted to participate in the examination or affect the examiners in their assessment of the thesis examination. They must leave the examination venue together with the candidate, when the Chairman and Examiners conduct their assessment of the thesis examination in the fourth part of the examination.

5. The fourth and final part is a closed session involving only the thesis examination committee to assess the quality of the thesis, and the performance of the candidate during the examination. In arriving at a decision, the votes of members of the thesis examination committee carry equal weight. The Chairman is responsible for advising the
committee the vote of the external examiner *in absentia*, if applicable.

### C. Outcome of Thesis Examination

A thesis examination can have one of the following results:

- Passed
- Passed subject to minor corrections
- Passed subject to major corrections
- Failed but may be resubmitted
- Failed

### D. Report on Thesis Examination

1. If a thesis has been graded “Passed”, “Failed but may be resubmitted” or “Failed”, the Chairman should forward the duly completed “Report on Thesis Examination Results for Research Degrees” to the head of the candidate’s department/division. The report, duly signed by all members of the thesis examination committee, must include all comments that the thesis examination committee or the Chairman wishes to make on the conduct of the examination, the quality of the thesis, the contribution of the thesis to the field of study, the performance and competency of the candidate in the thesis examination, or any other remarks relating to the thesis and the examination. On receipt of the report, the head of department/division will forward it via the Dean’s Office, to the Admissions, Registration and Records Office (ARRO) for follow-up action and its records.

2. If a thesis has been graded “Passed subject to minor corrections”, the thesis supervisor should keep the report until the candidate has submitted a revised thesis to his or her satisfaction before the deadline as described in Para E2
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below.

3. If a thesis has been graded “Passed subject to major corrections”, the thesis supervisor should keep the report until the candidate has submitted a revised thesis to the satisfaction of the thesis examination committee before the deadline as described in Para E3 below.

E. Post-thesis Examination Arrangements

1. If a thesis has been graded “Passed” with no corrections required, a PhD candidate must, within one week, submit four clean unbound original copies of the thesis to his or her department/division, which will arrange for the appropriate signatures of approval, and forward the signed copies to ARRO for their action. Of the four finalized copies of the thesis received by ARRO, two are kept by the University Library (one copy for archives and one for reference). The third copy is retained by the department/division concerned as a record. The fourth copy is sent to University Microfilms, Inc (UMI) in the US for microfilming. When submitting copies of the final version of the thesis, the thesis supervisor must remind the candidate that all four sets of the thesis should be identical and original copies. For MPhil candidates, the arrangement will be the same as that for the PhD candidates, except that three original copies of the thesis are required, instead of four, as MPhil theses are not normally forwarded to UMI for microfilming.

2. For candidates who have passed their thesis examination but subject to minor corrections, their final thesis copies must be submitted to the University within three months from the date of the thesis examination, or a date specified by the thesis examination committee, whichever is earlier. This requirement is applicable regardless of the mode of registration of the candidate. The corrections are to be
made to the satisfaction of the thesis supervisor. The final version of the thesis should be submitted to the thesis supervisor for checking and verification before the clean unbound original copies are submitted to the department/division to complete the degree requirements.

3. For candidates who have passed their thesis examination but subject to major corrections, their final thesis copies must be submitted to the University within 12 months from the date of the thesis examination, or a date specified by the thesis examination committee, whichever is earlier. This requirement is applicable regardless of the mode of registration of the candidate. The revised thesis requires the approval of the full thesis examination committee. If the members are satisfied with the revised thesis, they may recommend that a second thesis examination be waived. The revisions should be forwarded to the thesis supervisor and the head of the candidate’s department/division for endorsement. If a second examination is required, the membership of the thesis examination committee should be the same as that for the first examination, unless otherwise recommended by the candidate’s department/division.

4. The result “Failed but may be re-submitted” requires that the entire examination process be repeated, including the re-establishment of the thesis examination committee. At least six months must pass before the thesis can be re-submitted for examination. A candidate who has failed in the second attempt of thesis examination will result in the automatic withdrawal of the candidate from his or her program of study and termination of registration at the University.

5. A “Failed” grade results in the automatic withdrawal of the candidate’s from the program of study and termination of registration at the University.

6. In the event that a candidate misses the deadline for the
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submission of the final thesis copies, the candidate will be viewed to have failed to meet the thesis examination requirements of the University and will be deemed to have failed the requirements of the degree program being pursued.

7. If the delay in submitting the final thesis copies is no fault of the candidate, he or she may appeal for an exception to be made for the above rules to be lifted.