

THE HONG KONG UNIVERSITY OF SCIENCE AND TECHNOLOGY

PROVOST | HKUST

HANDBOOK FOR RESEARCH POSTGRADUATE STUDIES



2010-11

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HANDBOOK FOR RESEARCH POSTGRADUATE STUDIES

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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 an 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.

Master of Philosophy (MPhil) programs are normally several semesters in duration and require a combination of coursework and independent research.

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Doctor of Philosophy (PhD) programs are normally several years in duration and require a combination of coursework and independent research, with major emphasis placed on research.

The specific requirements of each program are given in the Postgraduate Program Catalog of the University.

1.4 Department

The term “department” is used in this Handbook to include all academic departments, divisions and any other academic units administering programs. A student’s major/home department is the academic unit which offers the specific degree program in which the student is enrolled.

1.5 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 Language Center, the Student Affairs Office, 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].

1.6 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 letter codes currently used by postgraduate programs are:

ACCT	Accounting
BICH	Biochemistry
BIEN	Bioengineering
BIOL	Biology
BISC	Biological Science
BTEC	Biotechnology

CENG	Chemical and Biomolecular Engineering
CHEM	Chemistry
CIEM	Civil Infrastructural Engineering and Management
CIVL	Civil and Environmental Engineering
COMP	Computer Science and Engineering
CSIT	Information Technology
ECON	Economics
EEMT	Engineering Enterprise Management
EESM	Self-financed PG Programs in Electronic and Computer Engineering
ELEC	Electronic and Computer Engineering
EMBA	Kellogg-HKUST Executive MBA Program
ENVR	Environment
EVSM	Environmental Science and Management
EVNG	Environmental Engineering
FINA	Finance
FYTG	HKUST Fok Ying Tung Graduate School
GFIN	Self-financed MSc Program in Global Finance
HUMA	Humanities
IBTM	Intelligent Building Technology and Management
IELM	Industrial Engineering and Logistics Management
IMBA	HKUST Executive MBA Program
ISOM	Information Systems, Business Statistics and Operations Management
JEVE	Self-financed PG Programs in Environmental Engineering, and Environmental Science
LANG	Language
MAFS	Self-financed MSc Program in Mathematics (Financial Mathematics and Statistics)
MALS	Self-financed MA Program in Liberal Studies
MARK	Marketing
MASE	Self-financed MSc Program in Materials Science and Engineering
MATH	Mathematics
MECH	Mechanical Engineering
MESF	Self-financed MSc Program Mechanical Engineering
MGMT	Management
MTM	Master of Technology Management Program (MTMC/MTMG/MTMI)

NANO	Nano Science and Technology
PDEV	Postgraduate Development Courses
PHYS	Physics
SBMT	School of Business and Management
SOSC	Social Science
SSMA	Self-financed PG Programs in 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 and Environmental Engineering.

1.7 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 [3-1-2:4] denotes a course that requires 3 lecture hours, 1 tutorial/seminar/recitation hour, and 2 laboratory/field study hours each week, and carries 4 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 General Admission Requirements

Applicants seeking admission to an MPhil degree program should have obtained a bachelor's degree from a recognized institution, or an approved equivalent qualification; and satisfied specific requirements prescribed by the school and department concerned as to their fitness to pursue postgraduate study.

To be eligible for admission to a PhD degree program, applicants should normally have obtained a master's degree from 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 specific requirements prescribed by the school and department concerned as to their chosen subject of research, as well as their fitness to undertake the research.

Selected applicants may be invited for an admission 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 English Language Requirement

Applicants whose first language is not English and whose bachelor's degree or equivalent qualification was awarded by institutions where the medium of instruction was not English are required to fulfill the following minimum English language requirement:

- Test of English as a Foreign Language (TOEFL) – Paper-based test score of no less than 550; or Internet-based test score of no less than 80; or

- International English Language Testing System (IELTS) - an overall score of 6.0 with no sub-score lower than 5.5.

N.B. TOEFL and IELTS scores are valid for two years from the test date.

In addition to the above, individual schools or departments may stipulate higher English language proficiency requirements.

2.3 Application for Admission

Prospective students are strongly encouraged to apply online. Further information on postgraduate admissions and online application forms are available on the website of the Admissions, Registration and Records Office (ARRO) at <http://www.ust.hk/admissions/>. Paper application forms are available on request by email (gradmit@ust.hk).

Application materials should be returned to:

Postgraduate Admissions Team
Admissions, Registration and Records Office
The Hong Kong University of Science and Technology
Clear Water Bay, Kowloon, Hong Kong

The provisional application fee for 2010-11 admission is HK\$150 for online application, and HK\$300 (US\$40) for paper application.

Applications for admission to postgraduate programs in September of the year are normally invited from November in the previous year. Interested persons are strongly advised to apply well before the application closing dates. In order to allow sufficient time to obtain a student visa/entry permit, non-local applicants are encouraged to submit their applications as early as possible and not to delay submission until the closing date.

2.4 Non-local Applicants

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

well-qualified candidates will be admitted.

Non-local students should carefully consider the financial aspects of their studies in Hong Kong before applying for admission. The tuition fee and the accommodation cost are the primary expenditure items. In addition, monies will be needed to cover cost of textbooks, local travel, and other personal needs. An average HKUST student spends approximately HK\$100 per day for meals on-campus. The cost of meals off-campus varies and is substantially higher. Depending on the spending pattern of individuals, personal miscellaneous expenses on local transportation, laundry, sundries and entertainment, etc. will be about HK\$300 per week.

Non-local students should note that, while the Immigration Department of the Hong Kong Special Administrative Region (HKIDept) has relaxed its employment restrictions, recipients of postgraduate studentship (PGS) awards (please see Section 5.1) are not allowed to work in Hong Kong, part-time work, summer work or internship.

As a general guideline, research postgraduate (RPg) students who do not receive PGS may apply to take up on-campus part-time work or summer work. Such applications should be supported by the student's supervisor, PG coordinator, and the associate dean before they are submitted to the Office of the Provost for consideration and final approval on a case-by-case basis.

In general, all non-local students (except those granted unconditional stay in Hong Kong) must obtain approval from the HKIDept before the commencement of their studies. Without such an approval, they are not allowed to register for any program of study at the University. Students who are not sure whether they need a visa/entry permit or not should check with the HKIDept directly (Tel: 2824 6111; Fax: 2877 7711; Email: enquiry@immd.gov.hk).

Upon approval by the HKIDept to enter Hong Kong for the purpose of pursuing the specified program of study at HKUST, Chinese Mainland residents, and Chinese residents from Taiwan and Macau residents will be issued an entry permit label. Non-local students from other places will be issued a student visa.

Students have to apply for the student visas/entry permits after they have completed the admission offer acceptance process. Chinese Mainland residents must apply for the entry permit through the University. Other students are strongly advised to apply for the student visas/entry permits through the University though they may choose to file an application on their own. While students have to initiate the student visas/entry permits application process, ARRO will provide appropriate assistance. Detailed information can be found at: <https://www.ab.ust.hk/arr/adm/pg/admissions/RPG/nonlocal.html>.

The HKIDept normally takes 6 - 8 weeks to process a student visa/entry permit application. Students, who are Chinese Mainland residents, will receive the entry permit labels from ARRO, have to apply at the appropriate Public Security Bureau for an “*Exit-entry Permit for Traveling to and from Hong Kong and Macau*”. This process will take an additional 2 weeks.

2.5 Deferred Admission

Under special circumstances, students may apply in writing to ARRO for deferred admission to a subsequent semester. Requests will be considered on an individual basis by the relevant school or 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.

3. The Versant Test

3.1 Spoken English Test for New Research Postgraduate Students

Starting from the 2009/10 intake, all full-time RPg students are required to take the Versant Test, a spoken English test, at the beginning of their first semester of study at HKUST. The Versant Test is an international test of spoken English proficiency for non-native speakers of English. Information about the test can be obtained at <http://www.ordinate.com>.

The duties assigned to Teaching Assistants (TAs) will involve direct class interaction with undergraduate (UG) students conducted in English. Such type of interaction may include the conduct of tutorials, assistance in laboratory sessions, and engagement in other UG class activities. It is important that RPg students who perform TA duties have an adequate mastery of their spoken English. The Versant Test provides a useful yardstick for the assessment of the spoken English ability of those whose mother tongue or first language is not English.

The Language Center of the University is responsible for administering the Versant Test. Students need to register for their test session through an online booking system. Details on the test schedule and booking system will be available in late August/January when it is closer to the start of Fall/Spring Semester.

3.2 English Language Enhancement Courses

Students who obtain a score lower than 51 (out of 80) in the Versant Test or failed to take the Versant Test in their first semester of study at HKUST are required to take LANG 500 *Foundation in Listening and Speaking for Postgraduate Students*, to help improve their English proficiency, particularly speaking and listening skills. Prior to their passing LANG 500, they will not be permitted to take up teaching duties involving direct classroom interaction with students or any teaching duties that require adequate English Language ability, unless otherwise approved by the Language Center.

Some departments may link the performance of students in LANG 500 with the rate of PGS that students receive. Departments have the discretion to reduce the PGS rate by 25% for students who fail the LANG 500 course after the first attempt.

In addition, some programs require their students to take and pass LANG 501 *Postgraduate English for Academic Purposes* as part of the program requirements.

To serve the English Language needs of RPgs, the Language Center also offers two English Language courses: LANG 507 *Professional English for Postgraduates*, and LANG 508 *English for Classroom Facilitation*. Students may take these English courses on a voluntary basis.

4. Fees

4.1 Tuition Fees

Tuition fees are payable in two equal installments at the beginning of each semester in 2010/11:

Full-time - HK\$42,100 per annum

Part-time - HK\$21,050 per annum

4.2 Partial Fees

RPg students who are in their final stage of thesis writing may register as a Continuing Student. The tuition fee for Continuing Student is a quarter of the full-time tuition fee, rounded up to the nearest five dollars per semester and has to be settled in full in a single payment:

Continuing Student - HK\$5,265 per semester

Students who graduate in a semester when they register as Continuing Student are not eligible for tuition fee refund even if they complete their program requirements within the first three months of the semester concerned.

4.3 Refund Policy

Tuition fees paid are normally not refundable.

RPg students who are studying beyond the nominal 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-month 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.

4.4 Caution Money

Each new student is required to pay a deposit of HK\$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 the point of 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.

4.5 Graduation Fee

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

4.6 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 HK\$100 and the annual subscription is HK\$100.

4.7 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.

4.8 Charges for On-campus Student Accommodation

Rooms in the University Apartments are air-conditioned and the charges do not include electricity charges for air-conditioning. All charges are paid in advance in installments.

Single rooms - HK\$24,977 - \$27,132 per residential year*
(excluding utility charges)

Double rooms - HK\$13,251 - \$15,249 per residential year*
(excluding utility charges)

* The 2010/11 residential year covers the period from 16 August 2010 to 30 June 2011.

4.9 Compulsory Medical Insurance

University policy stipulates that compulsory medical insurance is mandatory for all registered full-time degree-seeking non-local undergraduate and postgraduate students studying at HKUST on student visas/entry permits.

The compulsory medical insurance aims to provide better resources and safety net for non-local students in the event that they need prompt, appropriate and affordable medical services locally or outside of Hong Kong. While students may use the free general consultations and medications of the campus clinic, they might need other medical services such as hospitalization in some circumstances. There are always long waiting lists for public hospital services in Hong Kong, while medical costs in private hospitals are high.

All new and continuing non-local full-time degree-seeking students starting their study in Fall Semester in September must pay a medical insurance fee of HK\$560* on receipt of the tuition fee debit note. Students who commence their study at HKUST in Spring Semester on or after 1 February shall pay HK\$330* for the medical insurance coverage till the end of August. This arrangement also applies to students on exchange or overseas attachment.

Further details about the compulsory insurance scheme can be found on Student Affairs Office (SAO) website at https://sao.ust.hk/studentlife/popup_insurance_nl_dprograms.html.

* *Exact amount of premium to be confirmed.*

4.10 Other Fees and Charges

Other fees and charges students may come across include:

Item	Per-copy Fee
Application for Testimonial	HK\$20
Application for Transcript of Studies# <i>(excluding mailing charges)</i>	HK\$50
Replacement of Student ID Card	HK\$150
Replacement of Diploma <i>(excluding postage charges)</i>	HK\$400

A free copy of transcript will be issued to students upon graduation or withdrawal from the University.

5. Scholarship Awards and Financial Assistance

5.1 Postgraduate Studentships (PGS)

The University offers postgraduate studentships (PGS) to selected full-time RPg students who consequently engage in ancillary teaching and/or research duties. Please refer to the “*Terms and Conditions of PGS*” (Appendix II) of this Handbook for more details. The PGS rates for an academic year are normally announced at the beginning of Spring Semester of the previous year.

5.2 Scholarships

The University administers a number of scholarships and awards on behalf of individual and corporate donors. Most are offered 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 their donors. Details are available at the Scholarships and Awards Unit (<http://scholarship.ust.hk>).

5.3 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 (SFAA) for financial aid. They must also take up exclusively UGC/publicly-funded programs at the University. Holders of student visas are not eligible to apply for any financial aid from SFAA, irrespective of their number of years of residence in Hong Kong. Assistance is offered through two schemes:

(i) Tertiary Student Finance Scheme (TSFS)

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 the applicant's 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.

(ii) 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 TSFS. It also allows students who receive assistance from the TSFS to obtain loans up to the difference between the maximum assistance and the amount they receive under the TSFS, subject to the NLS loan maximum (equivalent to the tuition fees payable) not being exceeded. Loans awarded are not means-tested. Students have to repay the loan at a cost recovery interest rate within a specified period after graduation or on leaving the University.

Students may apply for assistance from both schemes or either one. Application forms and further details are available on SFAA website at <http://www.sfaa.gov.hk/eng/schemes/pst.htm> or the Student Affairs Office (SAO) of the University. Students with financial difficulties are urged to apply for Government assistance as soon as it is open for application.

5.4 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, Government financial assistance. Details of loans and bursaries are available at SAO.

6. Program Registration

6.1 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/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 the written permission from the major department.

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

6.2 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 RPg 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.

6.3 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.

6.4 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 for one semester. Requests for Leave from Study for two consecutive semesters require the approval of the relevant dean/director of IPO. 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 Provost.

The approved period of Leave from Study will be counted towards the time limit for completion of the program being pursued. Students who wish to take Leave from Study should submit an "*Application for Leave from Study*" (form RR-8a)* together with the appropriate supporting documents to the department for approval.

6.5 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.

Students who wish to apply for simultaneous registration are required to submit an "*Application for Double Registration*" (form RR-29)* to the Admissions, Registration and Records Office (ARRO) together with appropriate documentary evidence. Students will be notified of the result of the application in writing.

6.6 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 re-apply for admission to the University as new applicants.

6.7 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.

6.8 Duration of Study

The nominal period for completing a 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 an MPhil degree in full-time mode, the nominal period of study is two years.

The maximum time allowed for degree completion is five years for an MPhil degree, and eight years for a PhD degree. Time limits for part-time study are the same as for full-time study.

6.9 Retention of Student Status

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 are required to submit an “*Application for Retention of Student Status (for Research Postgraduates)*” (form RR-36)* to 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 eligible 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.

Though the student status is retained 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 nor to on-campus student accommodation.

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

In the event that students are unable to submit their completed theses before the end of the four-week period, they are required to register as regular students to maintain their student status. They have to complete program registration (including payment of tuition fee) and course registration of the semester concerned as appropriate.

6.10 Continuing Student Status

RPg students who are studying beyond the normative period of study and in their final stage of thesis writing may register as a Continuing Student, and pay a reduced tuition fee (please see Section 4.2) to maintain their student status, subject to the endorsement of the thesis supervisor and head of department/PG coordinator. Their previous mode of study, whether full- or part-time before changing to this status,

will remain unchanged. Eligible students are required to submit an "Application for Continuing Student Status of Research Postgraduate Students" (form RR-45)* to ARRO at least four weeks before the start of the semester the continuing student status is to be effected.

Continuing students, regardless of their mode of study, are not entitled to on-campus student accommodation and are not eligible to receive any forms of financial assistance, including but not limited to PGS and postgraduate research assistantship (PGRA), regardless of the source of funding.

There is no time limit for RPg students to register as Continuing Students. However, the maximum study period governing RPg studies still holds. Once having registered for the Continuing Student status, students are not allowed to change back to regular student status.

6.11 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.

6.12 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/ Interdisciplinary Programs Office (IPO). Unless there are extenuating circumstances, requests for program transfers to be effected in the middle of a semester are not supported.

For students who have transferred from one program of study to another, their period of study on all programs in which they have been

enrolled will all count toward the maximum duration of study. To apply for program transfer, students are required to submit an “*Application for Program Transfer*” (from RR-6a)* to the receiving department for consideration.

6.13 Program Withdrawal

Students who withdraw or are required to withdraw from the University should submit an “*Application for Withdrawal of Study*” (form RR-12)* to ARRO. All outstanding matters such as loans of equipment and books, payment of fines and outstanding charges should be settled with departments and/or offices concerned. They should also return their HKUST Student Cards to ARRO for de-registration purpose.

Students who wish to apply for refund of caution money should complete the “*Application for Refund of Caution Money*” (form FOF 100/94)*. Only those who have completed the formal procedures for withdrawal will be entitled to receive a refund of caution money and a free copy of the transcript of studies.

* All forms are downloadable from the ARRO website under the section “Useful Information and Forms” at https://www.ab.ust.hk/arr/reg/in/in_std_info/information.html.

7. Course Registration

7.1 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 course(s) 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.

7.2 Course Requirements

Credit requirements for postgraduate programs apply only to course and project work, not to thesis research. Unless restricted by program regulations, a maximum of 6 credits of approved undergraduate courses at 300-level may be used for postgraduate credit. Of the 6 credits, no more than 3 may be from the student's major department.

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

7.3 Study Load

The normal study load of full-time research degree students is 10 credits per semester whereas the maximum study load for those in part-time mode is 8.

Students registered as Continuing Student can only register for the

thesis research courses.

7.4 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 to register in the thesis research course until they have submitted their thesis.

7.5 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 grade average (CGA) and graduation grade average (GGA).

7.6 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. Students wishing to request course add/drop after the add/drop period are required to follow the same procedures as stipulated for course withdrawal.

7.7 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 has to be endorsed by the course instructor first, and then be reviewed by the head of department, and if supported, then by the dean of the school concerned/director of IPO, and finally the Office of the Provost. If approval is granted, the Withdrawal without Penalty Grade “W” is recorded on the student’s transcript as the course grade.

7.8 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 participate in activities up to and including the writing of the final examination but not receiving a formal grade.

Subject to satisfactory completion of the requirements set at registration by the course instructor, a 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.

7.9 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 to fulfill program requirements.

7.10 Credit Transfer

Credit transfer may be granted to students in recognition of previous studies completed successfully elsewhere. 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. Application must be made to their major department during their first semester after admission. Late applications will not be considered.

Conditions on granting of transfer credits to RPg students are as follows:

- (i) 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;
- (ii) Transfer credits cannot be granted in recognition of non-coursework experience or research work completed either at the University or at other institutions; and
- (iii) Credits for transfer must be at grade “B” or above.

The amount of transfer credits to be granted will be determined by the major department 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.

7.11 Transfer of Course Grades 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.

7.12 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. Final examinations are scheduled following the end of lectures. Students will not be given any grade for the course nor be allowed to sit for the examination of that course if their names are not on the class enrollment list.

Absence from Final Examinations

Students who fail to attend the 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/she may apply to 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.

ARRO will decide, in consultation with the Office of the Provost 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 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 HP/P/LP/U/Y, 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.

Letter Grades	Grade Point	Definition
A+	12	Excellent Performance
A	11	
A-	10	
B+	9	Good Performance
B	8	
B-	7	Marginal Performance
C+	6	
C	5	
F ⁽¹⁾	0	Failure

P/F Grades	Definition
P ⁽²⁾	Pass, Ungraded
F ⁽¹⁾	Failure
HP/P/LP/U/Y Grades⁽³⁾	Definition
HP	High Pass
P	Pass
LP	Low Pass
U ⁽⁴⁾	Unsatisfactory
Y ⁽⁵⁾	Incomplete

Other Grades	Definition
AU ⁽⁶⁾	Audited
I ⁽⁷⁾	Incomplete
PP ⁽⁸⁾	Permitted to Proceed
W ⁽⁹⁾	Withdrawal without Penalty

Notes:

- (1) A failed course (graded F) will not be credited toward a degree.
- (2) The Pass, Ungraded (P) grade is given only for courses that are indicated in the course description in the Academic Calendar that they will be graded as such.
- (3) The HP, P, LP, U and Y grades are for use exclusively on courses of the Kellogg-HKUST Executive Master of Business Administration and the HKUST Executive Master of Business Administration programs offered by the School of Business and Management.
- (4) An Unsatisfactory (U) grade will not be credited toward a degree.

- (5) An Incomplete (Y) grade is used when there is initial delay in coursework. This grade must be converted to a regular grade within a specified deadline; otherwise it will be converted to a "U" grade.
- (6) 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.
- (7) 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 a "F" grade.
- (8) 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.
- (9) The Withdrawal without Penalty (W) grade is given when a student is granted special approval for withdrawal from a course after the add/drop period.

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 of 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 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/director of the IPO within two weeks of receiving the decision; their decision is final.

Grade Averages

A grade average (GA) is the weighted average 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 HP/P/LP/U/Y, AU, I, P, PP or W are not included in the 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. The GGA for all postgraduate programs must at least be "B".

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

8. 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 a full-time MPhil degree is two semesters; and that for a full-time PhD degree is three if a relevant master's degree was earned prior to entering the PhD program, but four semesters for those who do not.

In many departments, the semester may include all or part of the subsequent Winter/Summer 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.

9. Guide on Thesis Supervision

9.1 Appointment of the Thesis Supervisor

Each RPg student will be assigned a thesis supervisor who oversees the student's research.

In cases where faculty members carrying titles of Visiting or Adjunct, Research Assistant Professors, Visiting Scholars or non-academic professions, are invited to supervise the research work of an RPg student, they can only be appointed as the co-supervisor, but not the prime supervisor of the student. In addition, the appointment of non-academic professions as the co-supervisor requires prior approval from the PG Secretariat of the Office of the Provost.

9.2 Formation, Membership and Roles of the Thesis Supervision Committee

Departments are required to establish a Thesis Supervision Committee (TSC) for each RPg student to ensure the quality of thesis research and to enhance the learning experience of RPg students.

Formation

For MPhil students, the TSC is normally formed within their first year of study. The TSC 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 TSC is initiated by the thesis supervisor. The student may be consulted in the process. The authority to approve and appoint TSCs usually rests with the departmental PG studies committee.

Membership

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

For both MPhil and PhD TSCs, at least one committee member must normally have had experience, at the University or elsewhere, as the

designated supervisor of the thesis research work of at least two PG students who have successfully completed their degrees.

For PhD TSCs, 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 TSC usually have research expertise relevant to the student's area of research.

Roles

TSC members 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 TSC 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/she will usually continue to supervise his/her students through various means. In the case of a thesis supervisor leaving the University, another member on the TSC should be appointed as a temporary thesis supervisor until a replacement thesis supervisor has been identified.

9.3 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

- (i) Provide guidance about the nature of research, the standard expected, the planning of the research program, the review of literature, the selection of coursework, and appropriate training in research techniques;
- (ii) 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;
- (iii) 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/she may need advice;
 - (iv) Ensure that the student's research
 - falls within his/her own area of expertise;
 - can be completed with the resources available;
 - can be completed within the prescribed period of study; and
 - is suitable for the degree program the student aims to undertake.
 - (v) If applicable, discuss any hazards involved in the research work and how these can best be dealt with, ensuring that safety procedures are followed;
 - (vi) Provide advice on the publication of research work, ensuring that attribution is discussed before publication;
 - (vii) Deal promptly with any research problems the student may encounter;
 - (viii) Adhere to the schedule for submission of the annual progress report to the Admissions, Registration and Records Office (ARRO);
 - (ix) 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;
 - (x) Guide the student in the preparation of the thesis examination;
 - (xi) Identify prospective examiners for the student's Thesis Examination Committee;

- (xii) Treat the student professionally, ensuring proper credit for his/her work; and
- (xiii) Be on the lookout for signs of behavioral changes, stress and depression, absence from class, laboratory sessions or appointments with no prior notification, reclusion, or erratic behavior in the student being supervised. The head of department and PG coordinator should be notified if any of the above behavior has been observed or reported. If necessary, the student should be referred to the Student Life Center of the Student Affairs Office for professional advice.

9.4 Responsibilities of the Student

An RPg student is expected to

- (i) Discuss with his/her thesis supervisor and TSC the type and scope of guidance he/she needs, and agree on regular meeting times;
- (ii) Take the initiative in raising problems or difficulties with the supervisor, however elementary they may seem, before they become serious;
- (iii) Attend supervisory meetings well prepared and with a clear agenda for the meeting; and be accessible to his/her thesis supervisor and/or TSC during the course of study;
- (iv) Make satisfactory academic and research progress following the advice of his/her thesis supervisor and TSC;
- (v) Discuss with and obtain the approval of his/her thesis supervisor regarding any changes in the direction of his/her research focus and its implications;
- (vi) Provide a brief self-evaluation summary report to be attached to the annual progress report for submission to ARRO through his/her thesis supervisor as part of the annual review process;

- (vii) Ensure that his/her thesis is completed and submitted within the period stipulated by the University for assessment;
- (viii) Abide by the rules and regulations governing postgraduate studies of the University; and
- (ix) Ensure that all work done by others which are used in the thesis is properly acknowledged.

9.5 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/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/program director for advice. The PG coordinator/program director should, in consultation with the head of department/associate dean of the relevant school responsible for postgraduate studies, consider the matter carefully. If appropriate, the PG coordinator/program director may recommend a change of the thesis supervisor.

9.6 Joint Supervision with Non-academic Institutions

The joint supervision of RPg students between academic institutions and the corporate sector is a universal trend which has been gaining popularity in overseas countries. This is an encouraging development

as it allows academic and corporate personnel to work together on research topics of common interests. This type of collaboration helps increase mutual understanding as well as provides opportunities for the establishment of closer and longer-term relationship between the corporate and academe. This complementary relationship also allows faculty from institutions to work with research staff of major corporations on application-oriented research.

The principles, limitations and framework under which joint supervision of RPg students between the corporate sector and the University is provided in the *“Guidelines on Joint Supervision of RPgs with Non-Academic Institutions”* which is available online at https://www.ust.hk/provost/pg/forms_stu/joint_supervision_guidelines.pdf.

10. 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 timeframe that students should take the qualifying examination and when the qualifying examination should be retaken in the case of failure in the first attempt.

11. Progress Assessment

11.1 Academic Standing

The academic standing of all postgraduate students is periodically reviewed and assessed 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 a 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 warning letter by the head of department/program director. 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 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 period. If the application for re-enrollment 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.

11.2 Annual Progress Reports

All MPhil and PhD students are required to submit by 30 June every year a written review of their study progress in the past twelve months,

using an online proforma designed for this purpose. Students also need to describe their study plans for the twelve months ahead.

Students who fail to submit the duly completed report form to the Admissions, Registration and Records Office (ARRO) by the stipulated deadline may not be allowed to register for his/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 thesis 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 (TSC).

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 allow supervisors to advise students on their research progress, the expectations of the TSC and whether their progress is acceptable to the TSC. 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.

12. Academic Honor Code Statement, Academic Integrity and Uniform Application of Appropriate Research Practices

12.1 Academic Honor Code Statement

Honesty and integrity are central to the academic work of HKUST. Students must observe and uphold the highest standards of academic integrity and honesty in all the work they do throughout their program of study.

As members of the University community, students have the responsibility to help maintain the academic reputation of HKUST in its academic endeavors.

Sanctions may be imposed on students if they are found to have violated the regulations governing academic integrity and honesty.

12.2 Academic Integrity

Academic integrity is the 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.

Detailed information on academic honesty and integrity at HKUST is available on the website of the Office of the Provost at <http://www.ust.hk/provost/integrity>.

12.3 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; and
- Safety Panel.

The Procedures for Uniform Application of Appropriate Research Practices at the University is available online at http://www.ust.hk/~webaa/AcademicPersonnel/Faculty_HB/ch24.pdf.

13. Intellectual Property Policies and Plagiarism

13.1 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:

- (i) Copyright;
- (ii) Patents;
- (iii) Software; and
- (iv) Trade and Service Marks.

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.

More information on intellectual property policies is available on the website of the Technology Transfer Center at https://www.ust.hk/~webttc/RandD/info_um/fintell.htm.

13.2 Plagiarism

The University views plagiarism (whether intentional or unintentional) as a serious offence. Students should practice with extreme care when conducting research.

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.

14. Preparation and Submission of Thesis for Examination

14.1 Thesis Format

The thesis shall conform in layout, binding and presentation to the requirements laid down in the “*Guidelines on Thesis Preparation*” (Appendix III). 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 both sides of international A4 size (297mm x 210mm) 80 to 90gsm woodfree white paper;
- Have all textual materials in one-and-a-half line spacing, although abstracts, 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 via their thesis supervisor and the divisional head. If approval is granted, students are also required to produce a translation of the abstract in English.

14.2 Submission

MPhil students who wish to appear before a Thesis Examination Committee must indicate to their department at least six weeks before the proposed date of thesis examination, and deliver to their 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, students, other members of the University community, and members of the public. Please refer to *"Guidelines on Procedures for Scheduling MPhil Thesis Examination"* (Appendix IV) for details.

The arrangements for PhD students are the same as those for MPhil students except that seven thesis copies must be delivered to the department concerned at least four weeks before the thesis examination. Please refer to the *"Guidelines on Procedures for Scheduling PhD Thesis Examination"* (Appendix V) for details.

15. 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.

15.1 Composition of an MPhil Thesis Examination Committee

Upon the recommendations of the Thesis Supervision Committee of the candidate being examined, the head of department/program director shall appoint an MPhil Thesis Examination Committee to examine the candidate who has expressed the intention of defending his/her thesis.

An MPhil Thesis Examination Committee shall consist of **at least three faculty members**, including

- (i) A Chairman;
- (ii) The thesis supervisor(s) of the student; and
- (iii) 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.

15.2 Composition of a PhD Thesis Examination Committee

Upon the recommendations of the Department and the School, the Office of the Provost shall appoint a PhD Thesis Examination Committee to examine the candidate who has expressed his/her intention of defending a thesis.

A PhD Thesis Examination Committee shall consist of:

- (i) A Chairman from outside the student's major department;
- (ii) The thesis supervisor(s) of the student;
- (iii) Two academic staff members, in addition to the thesis supervisor(s), from the student's major department;
- (iv) One academic staff member, other than the thesis supervisor(s), from outside the department; and
- (v) One examiner 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"* (Appendix VII) for details.

16. 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 departmental 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 examiners in the absence of the candidate.

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

Next is an open questioning session, 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 chairmen and any dialogue limited to the candidate and the individual questioner.

The third is a closed session involving a less formal discussion between the candidate and the Thesis Examination Committee on the candidate's 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 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. A report on the thesis examination is then prepared by the chairman, together with members of the Thesis Examination Committee.

Please refer to the "*Guidelines on the Conduct of MPhil and PhD Thesis Examinations*" (Appendix VIII) for details.

17. 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; or
- Failed.

18. Post-thesis Examination Arrangements

18.1 Passed

If a thesis has been graded “Passed” with no corrections required, an MPhil or PhD student must, within one week, submit two identical clean unbound original copies of the thesis to the department to complete the degree requirements.

18.2 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. Candidates should allow sufficient time for the thesis supervisor to check and verify their final version of the thesis before the clean unbound original copies are submitted to the University via the department to complete the degree requirements.

18.3 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. The Committee may recommend that a re-examination be held before a final assessment is arrived at. If a re-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 department. If the members are satisfied with the revised thesis, the clean unbound final thesis copies must be forwarded to the University via department to complete the degree requirements.

18.4 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 a Thesis Examination Committee. The membership of the Committee may or may not be the same as that for the first examination. At least six months must pass before the second thesis examination can be conducted.

A candidate who has failed in the second attempt of thesis examination will result in the automatic withdrawal of the candidate from his/her program of study and termination of registration at the University.

18.5 Failed

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

19. Submission of Final Thesis

19.1 Procedures and Requirements

On successful completion of the thesis examination, an MPhil or PhD student must submit two identical clean unbound original copies of the thesis to the department, which will arrange for the appropriate signatures of approval to be obtained. The department will then forward the signed copies to the Admissions, Registration and Records Office (ARRO) for follow-up action. When bound, one copy will be retained by the department and one by the Library as an archival copy in the open collection for the student author and other interested visitors to access on campus.

At the time of submission of the printed copies to the department, the student should have submitted an electronic copy of the thesis to the University Library's E-thesis Database (<http://library.ust.hk/th-submit.pl>). Students are required to provide a printed copy of the email acknowledging receipt of the e-thesis when they submit the printed copies of the thesis to the department for forwarding to ARRO as proof.

19.2 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, 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/she may appeal for an exception to be made for the above rules to be lifted. Appeal supported by thesis supervisor should be submitted to the PG Secretariat via the PG coordinator with the endorsement from the relevant school/IPO.

20. Graduation, Degree Conferment, Congregation and Degree Diploma

20.1 Graduation

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

- (i) Complete the courses specified for the program;
- (ii) Achieve at least a B average in the courses used to satisfy the program requirements;
- (iii) Attain a pass in the thesis examination;
- (iv) Complete the program within the specified time limit; and
- (v) 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, departments, divisions and program offices 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 degree has been conferred.

20.2 Degree Conferment

The University confers degrees twice a year, once in April/May and once in November. Students approved for graduation from the third week in October until one week prior to the second degree conferment

date in April/May will have their degrees conferred on the degree conferment date in April/May.

Students whose graduation approval date falls outside the periods mentioned in the previous paragraph will have their degrees conferred at the Congregation.

20.3 Congregation

The Congregation is the formal graduation ceremony at which students are awarded their degrees by the Chancellor or other officers of the University as stipulated in the University Statutes. This graduation ceremony is held in Fall Semester 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.

20.4 Degree Diploma

Diplomas are distributed to graduates within two months after the conferment of the degree. 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 degree conferment.

21. Appeals and Grievance Channels

21.1 Appeals

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

21.2 Grievance Channels

If students have 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 he or she feels should be conveyed to or discussed with the University, the first stop should normally be the PG coordinator of his or her home department. If this does not work or is not appropriate for some reasons, 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 (Deputy to the President). 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.

Appendix I

Committee on Postgraduate Studies (CPS)

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:
 - (i) General program requirements;
 - (ii) Program development including new programs recommended by School Boards;
 - (iii) Program quality control, including examinations and award of degrees;
 - (iv) Matters from the School Boards relating to postgraduate studies and student appeals;
 - (v) Selection and admission of postgraduate students;
 - (vi) Collection and maintenance of student records;
 - (vii) Student fees and financial assistance; and
 - (viii) Other matters as may be required by the Senate.
2. To submit to the Chairman of the Senate no later than 31 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 the formal Committee membership.
 2. To form any working groups as considered necessary.
-

C. Membership (Information as of 15 July 2010)

Chairman

Appointed by the Chairman of the Senate
Professor Mordecai J. GOLIN

Member and Secretary

Vacant

Members

- (a) Deans of Schools or designees
Science – Professor Ning WANG
Engineering – Professor Jang-Kyo KIM
Business & Management – Mr Chris C. O. TSANG
Humanities & Social Science – Professor Xiaogang WU
HKUST Fok Ying Tung Graduate School –
Professor Furong GAO
- (b) One representative to be selected by each School Board
Science – Professor Jianzhen YU
Engineering – Professor Qiang YANG
Business & Management – Professor Inchi HU
Humanities & Social Science – Professor Naubahar SHARIF
- (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 – Ms Na CHEN
Engineering – Mr Shigu CAO
Business & Management – Mr Kaushik RAMAKRISHNAN
Humanities & Social Science – Mr Shuo CHEN

D. Term

For student members, a staggered term of one or two years, renewable; and for others, two years, renewable.

Appendix II

Terms and Conditions of Postgraduate Studentships (PGS) 2010/11

A. Purpose of the Award

1. Postgraduate awards in the form of studentships are allocated to full-time research postgraduate students 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 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 RPgs 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 grants secured by faculty members, donations, or a combination of these. The terms and conditions for PGS awards described here apply to all PGS awards, regardless of their source of funding.

B. Eligibility

Only full-time RPgs of the University are eligible to apply for PGS. 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 PGS provided that this does not violate the terms and conditions of the other award(s). The studentship is conditional on demonstrated competency in English that satisfies the requirements of the University as well as the home department of the student concerned.

C. Administration

The allocation and administration of PGS to RPs is the responsibility of the department the RPs are registered with.

D. Amount and Duration of the Awards

1. RPs admitted from the 2004/05 academic year onward may receive, in their first year of study, a monthly PGS up to HK\$13,000, to be determined by the home department. The PGS rate, which is reviewed annually, may be adjusted upward or downward.
2. Starting from Fall Semester, 2010/11, all new full-time RPs are required to take the Versant Test at the start of the first semester of their study at HKUST. Students whose Versant Test score is below the threshold score of 51/80 are required to take and pass an English Language course, LANG 500, which has been designed to help improve their general English proficiency. Also, they may not take up teaching assistant duties involving direct classroom interaction with students. Some departments may link the performance of students in LANG 500 with the PGS rate that students receive. Departments have the discretion to reduce the PGS rate by 25% for students who fail the LANG 500 course after the first attempt.
3. In the case of PhD students, those who have passed their qualifying examination and have done well in their work may receive, in the next academic year following the passing of the qualifying examination a higher PGS rate of no more than \$13,400. Any PGS amount higher than HK\$13,400 should be endorsed by the Office of the Provost on a case-by-case basis and the funding must come from non-UGC block grant sources. The award of the higher PGS rate is not automatic, nor is it an entitlement for post-qualifying PhD students. The actual PGS rate for these PhD students is determined by the home department. The department's commitment to pay these higher rates can only be on an annual basis as the continued provision of PGS in subsequent years will depend on the performance and

the study progress of the PGS recipient as well as funding availability.

4. RPgs admitted before the 2004/05 academic year may, due to earlier contractual agreement, receive a monthly PGS up to \$13,500. The actual PGS amount is to be determined by the home department. For ease of interpretation, the date of admission refers to the point of entry to the current program of study.
5. For recipients of PGS, who occupy campus accommodation, room rental will be deducted from the PGS award amount. Campus accommodation policies and details of the accommodation arrangements can be obtained from the Student Housing Office, a sub-office of the Student Affairs Office (SAO). All new and continuing RPgs who require campus accommodation should apply to SAO well ahead of time. Rooms will be allocated subject to availability.
6. A PGS award commences at the time when an RPg begins his/her studies at the University. PGS may be offered, at the most, for one academic year only. Departments may extend awards to cover July and August 2011, if needed. Awards for the 2011/12 academic year will be reviewed and determined before the beginning of Fall Semester, 2011/12, subject to the availability of funds and satisfactory performance of the awardees.
7. As a general rule, PGS recipients who are studying beyond their normative period should be supported by sources other than centrally allocated PGS funding.

E. Other Conditions

1. PGS recipients are not employees of the University, and PGS award is not taxable income.
2. As the provision of PGS award is to ensure that subsistence living of recipients is covered, RPgs 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 Session, with the prior approval of the department and for non-local RPgs, on obtaining a “No Objection Letter (NoL)” issued by the Immigration Department of HKSAR, an RPg 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. From summer of 2008, the government has relaxed the policy on employment restrictions for non-local students. In general, full-time non-local students may now take up part-time on-campus jobs, off-campus summer jobs and study-related internship, subject to their meeting the conditions laid down by the Hong Kong Immigration Department. For RPgs, however, although study-related work or internship may be desirable experiences to have, in most cases, they may not be critical to the studies being pursued. The provision of PG studentship is to ensure RPgs should put their full-time efforts into their study and research. Hence they should not take up part-time work, summer work or internship, except for the condition mentioned in para E3 above.
5. Recipients of PGS 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 are directly related to his/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. With the prior approval of the home department, PGS recipients who are enrolled on research postgraduate programs may have up to 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 PG coordinator.

F. Termination

1. PGS recipients not performing satisfactorily in their program of study, including their ancillary duties, or who fail to demonstrate competency in English that satisfies their home department may lose their award or receive a partial award, but normally with at least one month's written notice given by their home department. Engagement in unauthorized work mentioned in para E4 above may also lead to the termination of PGS.
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 PGS. One month's advance notice is not required in such circumstances.
3. A recipient of PGS who takes more leave than is allowed (see para E6) may have his/her PGS payment suspended with no prior warning. For those who take leave from study or are required to take academic leave, their PGS will stop from the time they start their leave, or earlier as advised by the major department.
4. The award of a PGS will cease in the month the recipient has completed his/her program of study at the University.
5. Under exceptional circumstances and with the support of Dean's Office concerned/IPO and the PG Secretariat, the termination of the PGS award may be immediate.

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/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/her investigations and must indicate how they appear to him/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 journals).

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; and
- the month and year of submission, e.g. September 2010.

1.2 Authorization page;

1.3 Signature page;

1.4 Acknowledgments;

1.5 Table of contents, list of figures and tables;

1.6 Abstract;

1.7 The thesis body;

1.8 A thorough bibliography or reference list; and

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 in 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/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(s) 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, the supervisor and the head of department/program director 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 their supervisor and the divisional head. If approval is granted, 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, or a comparably permanent process.

2.2 Paper and print quality are vitally important for successful microfilming and legibility. Normally, international size A4 (297mm x 210mm) 80 to 90 gsm woodfree white paper of good quality should be used for the thesis. 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 A thesis including its drafts, initial submissions and the final version should be printed on both sides of the paper.

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

- 2.5 All margins should be consistently 25mm (or at a maximum of 30mm) in width. The same margins should be used throughout a thesis. 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. Open a new page only after each chapter or section but not a sub-section.
 - 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 a 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. For examination purpose, 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 or PhD student must submit two identical clean unbound original copies of the thesis to the department, which will arrange for the appropriate signatures of approval to be obtained. The department will then forward the signed copies to the Admissions, Registration and Records Office (ARRO) for follow-up action. When bound, one copy will be retained by the department and one by the Library as an archival copy in the open collection for the student author and other interested visitors to access on campus.
3. At the time of submission of the printed copies to the department, an MPhil or PhD student should have submitted an electronic copy of the thesis to the University Library's E-thesis Database (<http://library.ust.hk/th-submit.pl>). Students are required to provide a printed copy of the email acknowledging receipt of the e-thesis when they submit the printed copies of the thesis to the department for forwarding to ARRO as proof.

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 sole 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/her department at least **six weeks** before the proposed date of the thesis examination by submitting the proforma "*Notice of Intention to take MPhil Thesis Examination*". Inadequate notice served for taking the thesis examination will result in required postponement of the thesis examination. To avoid unnecessary delay in graduation, students are advised to schedule their thesis examinations well in advance, and avoid conducting thesis examinations towards the end of a semester/session, in order to allow sufficient time for revisions and other post-examination arrangements.
2. Should the content of the thesis involve commercially sensitive information, the thesis supervisor(s) is advised to approach the Technology Transfer Center well in advance to discuss the possibility of obtaining patent protection before the department makes announcement about the thesis examination to the public.
3. To encourage members of the University community to participate in thesis examinations, thesis examinations should normally **NOT** be scheduled on weekends and public holidays.
4. The student has to complete Part I of the proforma, and seek the endorsement of the thesis supervisor in completing Part II, before submitting the proforma to the department for an MPhil Thesis Examination Committee to be appointed. Membership of the Thesis Examination Committee should be confirmed no less than four weeks before the scheduled examination date.
5. The head of department/program director is responsible for appointing the examination committee following the "*Guidelines on the Appointment and Roles of Chairmen and*

Examiners of MPhil Thesis Examination Committees". The department should issue appointment letters to members on the Thesis Examination Committee. The department is responsible for checking the availability of examiners. Liaison with examiners to make arrangements for the thesis examination should not be done by the candidate being examined.

6. No less than **four weeks** before the thesis examination, the student has to deliver four copies of his/her thesis ready for examination purpose to the department. If the student fails to meet the thesis submission deadline, he/she may be required to postpone the thesis examination. Endorsement of Part IV of the proforma to confirm the actual date of receipt of the thesis copies by the PG coordinator/program director is required.
7. The department should distribute the thesis copies to the Chairman and members of the MPhil Thesis Examination Committee immediately, such that members are given sufficient time to review the thesis. One of the thesis copies will be put on display at the department prior to the thesis examination for perusal by faculty, students, other University members, and members of the public. To increase public awareness of the thesis examination, announcements (in the form of emails and/or posters etc.) should be made accordingly.
8. The duly endorsed proforma should be forwarded to the PG Secretariat of the Office of the Provost without delay. The PG Secretariat will check the information provided in the proforma to ensure the arrangements of the thesis examination conform to the University guidelines. The proforma will be forwarded to the Examinations and Graduation Section of the Admissions, Registration & Records Office (ARRO) for record and copied to the Health, Safety & Environment Office (HSEO) for performing safety clearance check where applicable. If deviations from the University guidelines are identified, the department will be requested to withhold or postpone the thesis examination (disregarding whether the student has duly submitted his/her thesis or not) until the clearance of the PG Secretariat has been sought.

9. **One working day** before the thesis examination is held, the department is required to send an email reminder to members of the MPhil Thesis Examination Committee, specifying the date, time and venue of the thesis examination. The email should be copied to the PG Secretariat at *pgsec@ust.hk* for its record.

10. If changes are to be made after the proforma "*Notice of Intention to take MPhil Thesis Examination*" has been filed, the student's department is required to obtain the prior 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.

11. For enquiries regarding the arrangements for scheduling MPhil thesis examinations, please contact the PG Secretariat by email (*pgsec@ust.hk*).

Appendix V

Guidelines on Procedures for Scheduling PhD Thesis Examinations

1. A PhD student who wishes to appear before a Thesis Examination Committee must indicate to his/her department at least **six weeks** before the proposed date of the thesis examination by submitting the proforma "*Notice of Intention to take PhD Thesis Examination*". Inadequate notice served for taking the thesis examination will result in required postponement of the thesis examination. To avoid unnecessary delay in graduation, students are advised to schedule their thesis examinations well in advance, and avoid conducting thesis examinations towards the end of a semester/session, in order to allow sufficient time for revisions and other post-examination arrangements.
2. Should the content of the thesis involve commercially sensitive information, the thesis supervisor(s) is advised to approach the Technology Transfer Center well in advance to discuss the possibility of obtaining patent protection before the department makes announcement about the thesis examination to the public.
3. To encourage members of the University community to participate in thesis examinations, thesis examinations should normally **NOT** be scheduled on weekends and public holidays.
4. The student has to complete Part I of the proforma, and seek the endorsement of the thesis supervisor in completing Part II, before submitting the proforma to the department for a PhD Thesis Examination Committee to be recommended by the head of department/program director. The department office is responsible for checking the availability of examiners. Liaison with examiners to make arrangements for the thesis examination should not be done by the candidate being examined. The proforma should then be forwarded to the School concerned for identification of a Chairman of the committee from outside the student's department to be done.

5. After the head of department/program director and the dean have endorsed Part III 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 (email: pgsec@ust.hk) for handling.
6. 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. If deviations from the University guidelines are identified, the student's department will be requested to withhold or postpone the thesis examination (disregarding whether the student has duly submitted his/her thesis or not) until the clearance and confirmation of the PG Secretariat has been sought. Confirmation from the PG Secretariat on the proposed membership of the Thesis Examination Committee should be sought no less than four weeks before the proposed examination date.
7. No less than **four weeks** before the thesis examination, the student has to deliver seven copies of his/her thesis ready for examination purpose to the department. If the student fails to meet the thesis submission deadline, he/she may be required to postpone the thesis examination. The PG coordinator should endorse Part IV of the proforma to confirm the actual date of receipt of the thesis copies, and forward the proforma to the PG Secretariat.
8. The department should distribute the thesis copies to the Chairman and examiners as soon as possible upon confirmation of the membership of the Thesis Examination Committee, such that members are given sufficient time to review the thesis. One of the thesis copies will be put on display at the department prior to the thesis examination for perusal by faculty, students, other University members, and members of the public. To

increase public awareness of the scheduled thesis examination, announcements (in the form of emails and/or posters etc.) should be made accordingly.

9. On receiving the duly endorsed proforma, the Office of the Provost will issue appointment letters to the Chairman and examiners of the Thesis Examination Committee. A memo will be issued to the head of department/ program director advising that the Thesis Examination Committee has been appointed. The memo will be copied to the associate dean of the relevant school responsible for postgraduate studies/director of IPO, the Chairman of the Thesis Examination Committee, the PG coordinator of the department, and the Examinations and Graduation Section of Admissions, Registration and Records Office (ARRO) for information. The proforma will also be copied to the Health, Safety & Environment Office (HSEO) for performing safety clearance check where applicable.
10. **One working day** before the thesis examination is held, the department is required to send an email reminder to members of the PhD Thesis Examination Committee, specifying the date, time and venue of the thesis examination. The email should be copied to the PG Secretariat at *pgsec@ust.hk* for its record.
11. If changes are to be made after the membership of the Thesis Examination Committee has been approved, the department concerned is responsible for obtaining the consensus of the full Thesis Examination Committee in writing, and the prior approval of the PG Secretariat by writing to *pgsec@ust.hk*, before the changes can be effected.
12. In the event a Chairman or examiner declines the appointment to serve on the Thesis Examination Committee, the department is responsible for nominating a replacement examiner for the consideration of the PG Secretariat as soon as possible. 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 PhD 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 and Appointment of an MPhil Thesis Examination Committee

1. Upon the recommendation of the Thesis Supervision Committee of the candidate being examined, the head of department/program director shall appoint an MPhil Thesis Examination Committee to examine the candidate who has expressed the intention of defending his/her thesis.
2. An MPhil Thesis Examination Committee shall consist of at least three faculty members, including
 - A Chairman;
 - The thesis supervisor(s) of the student; and
 - One other faculty member.
3. Approval of the PG Secretariat of the Office of the Provost must be sought in advance if the composition of proposed membership of an MPhil Thesis Examination Committee varies from the above requirements.

B. Roles of the Chairman and Examiners

1. Chairman
 - 1.1 The role of the Chairman, who is also one of the voting 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 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 There is sufficient opportunity of questions from the floor addressed to the candidate.
- 1.1.5 The recommendations of 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; or
 - 1.2.2 There is no show of an examiner 15 minutes after the scheduled time of commencement of the thesis examination.
- 1.3 Towards the end of the thesis examination, the Chairman is required to (i) collect Part 2 of the *“Report on Thesis Examination Result for Research Postgraduate Degrees”* from all the examiners and (ii) complete Part 3 and Part 4.1 of the report, with the assistance of the examiners.

The complete set of documents should be forwarded to the head of department/program director or the thesis supervisor as appropriate. For details, please refer to Section D of *“Guidelines on the Conduct of MPhil and PhD Thesis Examinations”*.

- 1.4 The Chairman is also required to submit a *“Chairman’s Report on MPhil Thesis Examination”* to the PG Secretariat within one week from the date of the thesis examination, reporting any irregularities observed during the conduct of 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:

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

- (ii) The thesis represents either the candidate's own original contribution to the discipline or well-organized and critical exposition of existing knowledge.
- (iii) The candidate, both verbally and in writing is able to present his/her thesis clearly, systematically, and coherently.
- (iv) The candidate has convincingly and lucidly defended his/her thesis.

2.2.4 Examiners must each submit Part 2 of the "*Report on Thesis Examination Result for Research Postgraduate Degrees*" to the Chairman at the end of the thesis examination.

2.2.5 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. The examiners then adopt the majority decision.

2.2.6 The examiners should assist the Chairman to prepare the "*Report on Thesis Examination Result for Research Postgraduate Degrees*" recommending the outcome of their assessment of the thesis examination.

Appendix VII

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

A. Composition and Appointment of a PhD Thesis Examination Committee

1. Upon the recommendations of the department and the school, the Provost (or his/her designate) shall appoint a PhD Thesis Examination Committee to examine the candidate who has expressed his/her intention of defending a thesis.
2. A PhD Thesis Examination Committee shall consist of:
 - (i) A Chairman from outside the student's major department;
 - (ii) The thesis supervisor(s) of the student;
 - (iii) Two academic staff members, in addition to the thesis supervisor(s), from the student's major department;
 - (iv) One academic staff member, other than the thesis supervisor(s), from outside the department; and
 - (v) One examiner external to the University who has expertise in the field being examined.
3. The Chairman from outside the student's major department is selected by the school office from a pool of senior faculty holding the rank of Associate Professor/Senior Lecturer or above nominated annually by the dean. He/she should have had experience in the conduct of PhD thesis examinations. An online database of qualified potential chairmen is maintained by the PG Secretariat on the website at <https://www.ust.hk/provost/pg/staff/PotentialChairmen.pdf>.
4. The external examiner 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 the past three years, or who will join the University

service before the assessment is completed, is not eligible for appointment as external examiner.

5. The external examiner should normally be professionally detached from the thesis supervisor(s) and the student. A person who has engaged in close research collaboration with the supervisor(s) or the student in the five years prior to the conduct of the thesis examination, including advisor/advisee relationship in research studies, and joint work in research projects or co-authored publications should not serve as an external examiner. If deemed necessary, exceptions to this requirement may be considered on a case-by-case basis.
6. Other than the thesis supervisor(s), at least two other examiners (including the external examiner) must hold the rank of Associate Professor/Senior Lecturer or above. If a thesis supervisor holds the rank of Professor, the Thesis Examination Committee should consist of (i) at least one other examiner who must hold the rank of Professor and be present at the thesis examination; and (ii) one other examiner who must hold the rank of Associate Professor/Senior Lecturer or above.
7. If the composition of the proposed membership of a PhD Thesis Examination Committee varies from the above requirements, approval of the PG Secretariat of the Office of the Provost must be sought in advance.

B Roles of the Chairman and Examiners

1. Chairman
 - 1.1 The Chairman presides over the examination, but is **not** one of the voting members. The role of the Chairman, who 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 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 There is sufficient opportunity of questions from the floor addressed to the candidate.
 - 1.1.5 In the case of the examiner external to the University not being able to attend the examination, the comments and questions raised are addressed to the candidate by the Chairman and the responses are reported to the external examiner after the examination.
 - 1.1.6 The recommendations of individual examiners are carefully considered, such that an overall recommendation may be arrived at in a fair and unprejudiced manner.
 - 1.1.7 The recommendation of the Thesis Examination Committee reflects the majority view of the examiners.
 - 1.1.8 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; or

- 1.2.2 There is no show of an examiner 15 minutes after the scheduled time of commencement of the thesis examination; or
 - 1.2.3 The external examiner neither attends the thesis examination in person nor submits a written report prior to the conduct of the thesis examination.
- 1.3 Towards the end of the thesis examination, the Chairman is required to (i) collect Part 2 of the *“Report on Thesis Examination Result for Research Postgraduate Degrees”* from all the examiners (including the *“External Examiner’s Report”* provided by the external examiner *in absentia*), and (ii) complete Part 3 and Part 4.1 of the report, with the assistance of the examiners.

The complete set of documents should be forwarded to the head of the candidate’s department or the thesis supervisor as appropriate. (For details, please refer to Section D of *“Guidelines on the Conduct of MPhil and PhD Thesis Examinations”*).

- 1.4 The Chairman is also required to submit a *“Chairman’s Report on PhD Thesis Examination”* to the PG Secretariat within one week from the date of the thesis examination, reporting any irregularities observed during the conduct of the thesis examination.

2. Examiners

- 2.1 There are normally **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 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 in the thesis examination.

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:

(i) The candidate has clearly demonstrated the ability and skills to conduct a major intellectual study, and arrive independently at a successful conclusion.

(ii) The thesis represents the candidate's own significant and original contribution to the discipline that is publishable in major international journals.

(iii) The candidate, both verbally and in writing, is able to present his/her thesis clearly, systematically, and coherently.

(iv) The candidate has convincingly and lucidly defended his/her thesis.

2.2.4 Both internal and external examiners must each submit Part 2 of the *"Report on Thesis Examination Result for Research Postgraduate Degrees"* to the Chairman at the end of the thesis examination.

2.2.5 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. The examiners then adopt the majority decision.

- 2.2.6 The examiners should assist the Chairman to prepare the “*Report on Thesis Examination Result for Research Postgraduate Degrees*” recommending the outcome of their assessment of the thesis examination.
- 2.2.7 An external examiner, who is unable to attend the thesis examination, should submit an “*External Examiner’s Report on PhD Thesis Examination*” to the PG Secretariat **at least five working days prior to the conduct of the examination**. Before completing the report, the external examiner may conduct a telephone interview, or through other means of communication to seek clarification with the candidate. The report will be forwarded to the Chairman, who 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.

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 / program director. One is the thesis supervisor and another is appointed as Chairman.
3. A PhD thesis examination normally consists of a Chairman and five voting examiners appointed by the Provost (or his/her designate). The examiners include the thesis supervisor(s), two academic staff members from the candidate's major department, one academic staff member from outside the department, and one member external to the University who has expertise in the field being examined.

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 members of the University and to guests invited by the department, 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; or
- Failed.

D. Reports on Thesis Examination

Report on Thesis Examination Results for Research Postgraduate Degrees

1. The examination result will be reported in a proforma entitled "*Report on Thesis Examination Results for Research Postgraduate Degrees*". The Chairman of the Thesis Examination Committee shall collect Part 2 of the report from all the examiners and complete Part 3 and Part 4.1 of the report. 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.
2. If a thesis has been graded "**Passed**", "**Failed but may be resubmitted**" or "**Failed**", the Chairman should forward the duly completed report to the head of the candidate's department. After signing the report, the head of department/program director will forward it to the dean for endorsement, and finally to the Admissions, Registration and Records Office (ARRO) for follow-up action and record.
3. If a thesis has been graded "**Passed subject to minor corrections**", the Chairman should pass the entire set of documents to the thesis supervisor who should keep the report until the candidate has submitted a revised thesis to his/her satisfaction before the deadline as described in Para E2 below. The full set of documents should then be forwarded to the head of department/program director and the dean for endorsement before passing to ARRO for action and record.
4. If a thesis has been graded "**Passed subject to major corrections**", the Chairman should pass the entire set of documents to the thesis supervisor who 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. The full set of documents should then be forwarded to the head of department/program director and the dean for endorsement before passing to ARRO for action and record.

Chairman's Report on Thesis Examination

5. The Chairman is also required to submit a "*Chairman's Report on PhD/MPhil Thesis Examination*" to the PG Secretariat within one week from the date of the thesis examination, reporting any irregularities observed during the conduct of the thesis examination.

E. Post-Thesis Examination Arrangements

1. If a thesis has been graded "**Passed**" with no corrections required, the candidate must, within one week, submit two identical clean unbound original copies of the thesis to the department to complete the degree requirements.
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. Candidates should allow sufficient time for the thesis supervisor to check and verify their final version of the thesis before the clean unbound original copies are submitted to the University via the department 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. The committee may recommend that a re-examination be held before a final assessment is arrived at. If a re-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 department. If the members are satisfied with the revised thesis, the clean unbound final thesis copies must be forwarded to the department to complete the degree requirements.

4. The result **“Failed but may be re-submitted”** requires that the entire examination process be repeated, including the re-establishment of a Thesis Examination Committee. The membership of the committee may or may not be the same as that for the first examination. At least six months must pass before the second thesis examination can be conducted. 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 from the program of study and termination of registration at the University.

F. Submission of Final Thesis

1. On successful completion of the thesis examination, an MPhil or PhD student must submit two identical clean unbound original copies of the thesis to the department, which will arrange for the appropriate signatures of approval to be obtained. The department will then forward the signed copies to ARRO for follow-up action. When bound, one copy will be retained by the department and one by the Library as an archival copy in the open collection for the student author and other interested visitors to access on campus.

At the time of submission of the printed copies to the department, the student should have submitted an electronic

copy of the thesis to the University Library's E-thesis Database (<http://library.ust.hk/th-submit.pl>). Students are required to provide a printed copy of the email acknowledging receipt of the e-thesis when they submit the printed copies of the thesis to the department for forwarding to ARRO as proof.

2. If a candidate misses the deadline for the submission of the final thesis copies, the candidate will be viewed to have failed to meet the thesis examination requirements 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/she may appeal for an exception to be made for the above rules to be lifted.