



北京大学

Peking University

研究生学位论文写作 指南

Guidelines for Electronic & Hardcopy Dissertation of Graduate Degree

北京大学学位办公室

Degree Office, Peking University

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前言 Foreword

研究生学位论文是研究生在读期间独立完成的研究成果。学位论文不仅反映研究生对基础理论和专业技能的掌握情况,还应体现作者所研究领域,特别是所研究方向 的最新成果和前沿进展。随着我国整体科研水平和国际影响力的提高,我国的学位论

文在国内外学术交流中扮演着日益重要的角色,也会成为公众关注的对象。

Graduate degree dissertations are independent research works of graduate students while studying at schools. Generally speaking, a graduate degree dissertation reflects not only a student's mastery of basic theories and professional skills, but also the research field, especially the latest methodologies, findings, progresses and conclusions. In line with the improvement of the overall level of scientific research and the increasing international influence, graduate degree dissertation in Chinese has been playing a dramatically important role in the academic exchanges at domestic and abroad, and it has attracted lots of public attentions.

学位论文的写作过程既是对研究生在学期间所得研究结果的全面总结,也是对研究工作的深化与升华。写作过程体现了作者的学术水平、动手能力、科学精神和学术规范。多年的学位论文评阅结果表明,不少研究生在撰写学位论文时,往往只关注研究内容和研究结果的表达,忽视了论文的写作规范,从而影响了学位论文的质量,也会影响导师、学生和学校的学术声誉。

The dissertation writing process is not only an entire comprehensive summary, but also the depth and sublimation of the research works of a graduate student at school. Besides, the writing process discovers a student's academic level, practical ability, scientific spirit and academic norms. For many years, dissertation evaluation results indicate that many graduate students usually only pay attention to the research contents and demonstrating research results, and ignore the writing standards of the

dissertation, so this fact really affects the qualities of dissertations, as well as the reputations of advisors, students and schools' academia.

研究生教育作为国民教育的最高层次,是培养高端人才的重要途径,是国家创新体系的重要组成部分,也是高等教育质量和国际竞争力的直接体现。北京大学崇尚“勤奋、严谨、求实、创新”的学术作风和做人之道,更应该把遵守科学道德、维护学术声誉和提高教育质量摆在突出和重要的位置。

As the highest level of national education, graduate education is an important way to train high-end talents, and also an important part of national innovation system, as well as a direct reflection of the accreditation of higher education and international competitiveness. Peking University advocates "diligent, rigorous, realistic, innovative" academia standards and norms; furthermore, it should focus on putting a dominant and important position of be compliance with scientific ethics, maintaining academic reputations and improving accreditation of education.

近年来,国务院学位委员会办公室加大了对学位论文的抽检力度,我校也开始实行了学位论文抽检制度。我们希望同学们按照要求,掌握学位论文的撰写规范,在确保学术内容准确可靠的同时,严格遵守学位论文的写作规范,体现精益求精的治学态度,保证学位论文的质量。

In recent years, Office of Academic Degrees Committee of the State Council has been increasing the samplings of verifying degree dissertations, and our school has begun to implement the system of dissertation verifying sampling. In accordance with the requirements of

standardized dissertation writings, we urge that students firmly follow the guidelines and formats to write their dissertations with ensuring the accurate and reliable academic contents, so this really reflects excellent attitude of academia and the dissertation quality.

为了便于研究生撰写学位论文,规范学位论文的写作格式,现编写《北京大学研究生学位论文写作指南》和学位论文写作模板,供同学们参考使用。

In order to facilitate students to write graduate dissertation by following the guidelines, the school has compiled and published the Guidelines for Electronic & Hardcopy Dissertation of Graduate Degree and the dissertation sample/template for the purpose of reference.

北京大学学位办公室 2014年5月

Degree Office, Peking University

May 2014

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北京大学研究生学位论文写作指南

I

Peking University

Guidelines for Electronic & Hardcopy Dissertation of Graduate Degree

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第一章 内容及格式

Chapter I Content and format

第一章 内容及格式

第二章 Chapter I Content and format

研究生在撰写学位论文时, 应按照《北京大学研究生学位论文的基本要求与书写格式》^[1]各项要求进行撰写, 同时需满足《科学技术报告、学位论文和学术论文的编写 格式》(GB7713-1987)^[2]格式要求。

Students shall write their dissertations by meeting each “Basic Requirement and Writing Format for Peking University Degree Dissertations” and also the requirements of “Writing Formats of Scientific and Technological report, Degree Thesis and Academic Dissertation” (GB7713-1987).

学位论文要求内容完整, 立论正确, 数据可靠, 说理透彻, 推理严谨, 层次分明, 文字简练。必须是一篇(或一组相关论文组成的

一篇)系统完整的、有创造性的学术 论文。学位论文的撰写应遵循学术道德规范,避免涉嫌抄袭、剽窃等学术不端行为。

The requirements of writing a dissertation shall be content completeness, correct theories, reliable data, thorough and clear reasons, and concise texts. It must be a or a series of systematic, comprehensive, creative paper(s). Dissertation writing should be compliance with academic ethics and avoid academic misconduct, such as plagiarism, and etc.

文中采用的术语、符号、代号,全文必须统一,并符合规范化的要求^[3,4]。如果文中使用新的专业术语、缩略语、习惯用语,应加以注释。国外新的专业术语、缩略语,必须在译文后用圆括号注明原文。学位论文的插图、照片必须确保能复制或缩微。

The terms, symbols and codes of the dissertations must be persistent and consistent, and meet the standardized requirements. If the new terminologies, abbreviations and idioms used in the dissertations should be annotated. Besides, the abroad new terminologies and abbreviations must be cited the sources and translated in parentheses; the illustrations, photos ensure to be copied or micro graphed.

非经学位办公室批准,除古汉语研究中涉及的古文字和参考文献中引用的外文文献,以及外国语言文学的论文之外,学位论文均应采用国家正式公布实施的简化汉字 撰写^[5]。计量单位采用法定的计量单位。

Without the approval of The Office of Degree, except ancient texts related to the research of Ancient Chinese

Language and foreign literatures of the references, as well as the foreign language literatures, Degree theses /dissertations should be written in simplified Chinese characters, which are officially announced and published the implementation of writing^[5]. The measurement units shall use the legal measurement units.

除下文有特殊要求外,中文用宋体字,英文和阿拉伯数字用 Times New Roman 字体,段落首行缩进两个汉字符。

Except the following special requirements, Chinese characters shall be in “Song” typeface, English and numbers or digitals shall be in the font of “Times New Roman”, and the first row of each paragraph shall be indented two Chinese characters.

学位论文一般应由 10 个主要部分组成,依次为:

1. 封面, 2. 版权声明, 3. 中文摘要, 4. 英文摘要 (ABSTRACT), 5. 目录, 6. 正文(含引言和结论), 7. 参考文献
8. 附录, 9. 致谢、后记或说明, 10. 学位论文原创性声明和授权使用说明。

In general, a degree thesis/dissertation shall contain 10 main components in sequence as: 1. Cover, 2. Copyright, 3. Abstract in Chinese, 4. Abstract in English, 5. Table of contents, 6. Main body (including introduction and conclusions), 7. References, 8. Appendixes, 9. Acknowledgement, notes and explanations. 10. Original declaration and authorization statement of dissertation for degree

学位论文如果有缩略词或者符号表,可以放到目录之后、正文之前(5-6 之间)。以上各部分独立为一部分,每部分从新的一页开始。各部分具体要求如下:

Abbreviations or the symbol tables in the dissertations can be put in before the main body and after the Table of contents (i. e., between 5 and 6) if there are any. Each of above sections is an independent part, and each part shall start from a new page. The specific requirements of each part are as follows,

1.1 封面

1.1 Cover

学位论文应采用研究生院指定的统一封面,博士用青绿色封面,同等学力硕士用黄绿色封面,其他硕士用黄色封面。封面上的校徽和“北京大学”字样应采用信息化办公室发布的核准版本。封面上应居中填写:论文题目、姓名、学号、院系、专业、研究方向、导师、完成年月等信息。

The cover of the degree these/dissertations shall be used the uniform covers specified by the Graduate School, i. e., the covers of dissertations for PhD candidates are in green color, for the equivalent master degrees are in yellow and green color, and for the other master degrees are in yellow color. On the cover, school badge and the words "Peking University" should adopt the approved version issued by the Office of Information; furthermore, on the aligned center of the cover, it shall be filled with the dissertation title, student name and number,

College/Department, major, research field, advisor's name and the completion of the dissertation.

题目应准确概括整个论文的核心内容, 简明扼要, 一目了然。一般不宜超过 20 个 汉字(符), 采用一号黑体字, 居中填写, 一行写不完可以分两行填写。如有副标题, 在主标题和副标题之间用破折号间隔。

院系填写培养院系全称, 不得使用简称, 院系名称前也不写“北京大学”四个字。

The title should epitomize the core contents of an entire thesis/dissertation, is simple but brief and to the point. Generally, it should not contain more than two bold black Chinese characters (symbols), which are aligned in the center of each line, and these characters can be filled in one or two lines when needed. The main title and subtitle shall be separated by a dash if there is a subtitle.

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北京大学研究生学位论文写作指南

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Guidelines for Electronic & Hardcopy Dissertation of Graduate Degree

专业应使用学位管理系统中标准的专业名称, 不得增减字。导师一栏应填写学籍管理系统中的导师姓名, 后衬“教授”、“研究员”等导师 职称。若指导教师多于一人, 则分行署名。Students must use the entire major name standardized by the degree management system, are not allowed to make any change on it. Advisor's name should be filled in the area

of “Advisor” designated by student management system, with the academic titles, for example, “Professor” or “researcher”, and so on. Students need to put his/her name in different separate lines if there are more than one advisors.

作者及导师信息部分使用三号仿宋字。

The detailed information of students and advisors shall be in No.3 “Fangsong” typeface.

完成论文日期用三号宋体汉字,如“二〇一四年六月”,不用阿拉伯数字。

The completed dates of the these/dissertations shall be in No.3 Chinese “Fangsong” typeface, for instance, “June 2014” shall be stated as “二〇一四年六月” rather than Arabic numerals.

如需英文内封的,可以紧接中文封面之后,项目内容和中文封面内容一致。

Students should put an English cover on the back of the cover in Chinese when need it, and its contents are consistent with those of the Chinese cover.

1.2 版权声明 版权声明为全校统一格式、内容。从校内门户或者从研究生院网站下载、打印即可。

Copyright statement

Copyright statement shall be the unified standard formats and contents and is accessible for downloading and printing from the school portal or from the graduate school website.

1.3 中文摘要

1.3 Abstract in Chinese

中文摘要部分的标题为“摘要”，用黑体三号字，居中书写，单倍行距，段前空 24 磅，段后空 18 磅。

The title of abstract in Chinese is named in “摘要 (abstract)” with No.3 Bold Typeface, single space, and aligning in the center. A paragraph starts with empty 24 pounds and ends with empty 18 pounds.

摘要内容用小四号宋体字两端对齐书写，段落首行空两个汉字符，行距为固定值 20 磅，段前空 0 磅，段后空 0 磅。

The contents of the abstract shall be in minor No. 4 “Song” typeface and justify align. Each paragraph should begin with empty two Chinese characters and the fixed 20 pounds spaces, and it starts with empty 0 pounds and ends with empty 0 pounds.

博士中文摘要一般 800-1000 汉字(符)，硕士论文摘要一般 600 汉字左右。

General speaking, an abstract in Chinese for PhD degree shall be 800-1000 words (Chinese character), and an

abstract in Chinese for master degree shall be approximately 600 words (Chinese character).

内容一般包括:论文研究的目的和意义;完成的工作和方法(作者独立进行的研究工作的概括性叙述);获得的主要结论或提出的主要观点(这是摘要的中心内容)。硕士学位论文摘要应突出论文的新见解,博士学位论文摘要应突出论文的创新点。

The contents include: the purposes and significance of this research; completed works and methodologies (summarized descriptions of independent research works); the core conclusions, main views or proposed suggestions (the center of the abstract). The abstracts of master degree these should highlight the new ideas, and the abstracts of PhD degree dissertations should highlight the innovations.

论文摘要不能出现图片、表格或其他插图材料。

论文的关键词,是为了文献标引工作从论文中选取出来用以表示全文主题内容信息的单词或术语,应有 3~5 个,每个关键词之间用逗号间隔。关键词放摘要页最下方,从新的一行撰写。

No pictures, tables, or other illustrations present in the abstracts of dissertations.

In order to refer to each abstract, there shall be three to five key words, which are single words or technical terms summarizing the entire thesis/dissertation and selecting from the thesis/dissertation. There is a comma

between key words. Keywords shall be written at the bottom of each abstract starting from a new paragraph.

如果论文的主体工作得到了有关基金资助,应在摘要第一页的页脚处标注:本研究得到某某基金(编号:□□□)资助。

If there are any funds sponsoring for the core work of the these/dissertations, the student(s) shall note it as a footnote: "This research is funded/supported by XX funds (No: XXX)" at the first page of the abstract.

1.4 英文摘要

英文摘要由上到下应包含英文题目、作者姓名、专业名称(用括号括起放姓名之后)、指导教师姓名、“ABSTRACT”、英文摘要内容和关键词(KEY WORDS)。

英文题目用 Arial 三号字体,居中书写,单倍行距,段前空 24 磅,段后空 18 磅。作者姓名、专业名称(用括号括起放姓名之后)和指导教师姓名用 Times New

1.4 Abstract in English

The content sequence of an Abstract in English should include the English title, student name, major (in parentheses after student name), advisor name, "ABSTRACT", the main body of abstract in English and KEY WORDS.

English title shall be with No.3 Arial typeface , single-spaced paragraph and aligning center, and it starts with empty 24 pounds and ends with empty 18 pounds.

The typefaces of student name, major (in parentheses after student name) and advisor name shall be in "Times New Roman".

第一章 内容及格式

Roman 小四号字体, 居中书写, 固定行距 20 磅, 段前、段后空 0 磅。“ABSTRACT”用 Arial 小四号字体居中书写, 固定行距 20 磅, 段前空 8 磅, 段后空 6 磅。摘要内容和关键词 (KEY WORDS) 用小四号 Times New Roman 字体书写, 两端

对齐, 标点符号用英文标点符号。固定行距 20 磅, 段前、段后空 0 磅。“KEY WORDS”大写, 其后的关键词第一个字母大写, 关键词之间用半角逗号间隔。关键词放英文摘要页下方, 从新的一行写起。

英文摘要的内容应与中文摘要一致。

Chapter 1 Content and format

The contents shall be with typeface of “minor No. 4 of Roman” aligning center and the fixed 20 pounds spaces, and it starts and ends with empty 0 pounds. “ABSTRACT” shall be with typeface of “minor No. 4 of Arial”, aligning center, and the fixed 20 pounds spaces, and it starts with empty 8 pounds and ends with 6 pounds.

The contents of Abstracts and keywords (KEY WORDS) shall be with typeface of minor No. 4 Times New Roman, justify full, punctuations with English style, the fixed 20 pounds spaces, and it starts and ends with empty 0 pounds. “KEY

WORDS" shall be in uppercases, and the first letter of each keyword shall be in uppercase. There shall be a comma between key words. Keywords shall be written at the bottom of each abstract starting from a new paragraph.

The contents of an Abstract in English shall be firmly consistent with those of an Abstract in Chinese.

1.5 目录

1.5 Table of contents

目录既是论文的提纲,也是论文组成部分的小标题。目录由章节序号、标题名称和页码组成。章节序号,一般是下级引用上级序号,如 2.2.5 表示第二章第 2 节第 5 小节。目录一般列到三级标题,即二级节标题(如 2.2.5)即可。

Table of contents is not only the outline of the thesis/dissertation, but also the subtitles of the dissertation components. Table of contents normally include chapter numbers, subtitle names and page numbers. Chapter serial number is usually referred from the subsection to the section of a chapter, such as 2.2.5, which means the fifth subsection of the second section of chapter 2. Table of contents are generally classified into three levels, i.e., the subsection of the section of a chapter, such as 2.2.5.

目录内容一般从第一章引言开始,目录之前的内容及目录本身不列入目录内。目录中的章标题行采用黑体小四号字,固定行距 20 磅,段前空 6 磅,段后 0 磅;其他内容采用宋体小四号字,行距为固定值 20 磅,段前、段后均为 0 磅。

The contents of Table of contents shall start from chapter 1 foreword (introduction) without considering the contents before Table of contents and itself. The titles of chapters of Table of contents shall be with typeface of “minor No. 4 of Black Bold” and fixed 20 pounds spaces, and it starts with empty 6 pounds and ends with 0 pound; the rest contents shall be with typeface of “minor No. 4 of Song” and the fixed 20 pounds spaces, and it starts and ends with empty 0 pound.

目录中的章标题行居左书写, 一级节标题行缩进 1 个汉字符, 二级节标题行缩进 2 个汉字符。

The titles of chapters of Table of contents shall be aligned left, the first section of the title line shall be indented one Chinese character, the second section of the title line shall be indented two Chinese characters.

论文的图表一般不用专门制作目录, 如确有必要, 可另起一页放到本目录之后。

The tables, charts and figures are generally not considered to be parts of Table of contents, if necessary, they could be put in another page after Table of contents.

1.6 主要符号对照表

如果论文中使用了大量的符号、标志、缩略词、专门计量单位、自定义名词和术语等,应编写“主要符号对照表”。如果上述符号和缩略词数量不多,可以不设专门的“主要符号对照表”,在论文中出现时随即加以说明即可。

“主要符号对照表”放目录之后、正文之前。格式上“主要符号对照表”同“章”标题,内容同正文格式。

1.6 Table of abbreviations and expressions

Students might (might not) compile “the Table of Main Abbreviations and Expressions” if there are countless (just a few) symbols, abbreviations, units of measurement, special defined terms and terminology used in the papers.

If there is not a complied “the Table of Main Abbreviations and Expressions” in the theses/dissertations, students shall accordingly explain symbols, abbreviations, units of measurement, special custom terms and terminologies when they appear in the papers.

“The Table of Main Abbreviations and Expressions” shall be put after the table of contents and before the main body in the theses/dissertations.

The formats of “the Table of Main Abbreviations and Expressions” are the same as those of “the chapter” titles, and the contents are consistently with those of main body.

1.7 正文

正文是学位论文的主体,根据学科专业特点和选题情况,可以有不同的写作方式。但必须言之成理,论据可靠,严格遵循本学科

国际通行的学术规范。内容包括:第一章引言(或绪论、序言、导论等),第二章,……,第□章结论与展望。书写层次要清楚,内容要有逻辑性。

1.7 Main body

According to the peculiarity of a subject/major and the selection of topics, the main body is the backbone/framework of the thesis and dissertation; students could write their theses/dissertations employing different methods and methodologies. However, a dissertation must be strictly following the rules of international academic norms, such as reasonable and logical hypotheses and reliable arguments. The contents of the thesis/dissertation include: chapter 1 is the part of foreword (introduction, preface, and so on.); chapter 2, ... and the final chapter shall be the conclusions and prospect. The level of thesis/dissertation writing should be clear and the contents sound logically.

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Guidelines for Electronic & Hardcopy Dissertation of Graduate Degree

1.7.1 标题

1.71 Title

标题要重点突出,简明扼要,格式如下:

The title should be emphasized, clear and concise, and its format as follows:

各章标题,例如:“第一章 引言”。章序号采用中文数字,章序号与标题之间空一个汉字符,采用黑体三号字,居中书写,单倍行距,段前空 24 磅,段后空 18 磅。目录中和章平级的其它标题也用这一格式。

Each chapter shall contain a title, for instance“chapter 1 foreword (introduction)”. The chapter serial numbers shall be in Chinese figures, and there shall be a Chinese character space between chapter serial number and title. The chapter serial numbers shall be aligned center with typeface of “No.3 of Black Bold” and single spacing, and it starts with empty 24 pounds and ends with 18 pounds.

一级节标题,例如:“2.1 实验装置与实验方法”。节编号用阿拉伯数字表示,前边数字为上级章节的序号,后一数字为本节的顺序号。数字间用半角小数点“.”连接。节标题序号与标题名之间空一个汉字符(下同)。采用黑体四号(14pt)字居左书写,行距为固定值 20 磅,段前空 24 磅,段后空 6 磅。

The first section of each title, for example, “ 2.1 Experimental device and experimental method”, and the serial number of the first section shall be in Arabia digitals. The first digital represents the serial number of last chapter, and the final digital means the sequence of this section. Digits are connected by half-width decimal point as “.” There shall be a Chinese character between the title and the title of the section (same as below). The contents of first section of each title shall

be aligned left with typeface of “No. 4 of Black Bold (14pt)” and the fixed 20 pounds spaces, and it starts with empty 24 pounds and ends with empty 6 pounds.

二级节标题, 例如: “2.1.1 实验装置”。采用黑体 13pt 字居左书写, 行距为固定值 20 磅, 段前空 12 磅, 段后空 6 磅。

The second section of each title, for example, “2.1.1 Experimental device” shall be aligned left with typeface of “Black Bold (13pt)” and fixed 20 pounds spaces, and it starts with empty 12 pounds and ends with empty 6 pounds.

三级节标题, 例如: “2.1.2.1 归纳法”。采用黑体小四号 (12pt) 字居左书写, 行距为固定值 20 磅, 段前空 12 磅, 段后空 6 磅。一般情况下, 不建议使用三级及以上节标题。

The third section of each title, for example, “2.1.2.1 induction method”, shall be aligned left with typeface of “minor No. 4 Black Bold (12pt)” and fixed 20 pounds spaces, and it starts with empty 12 pounds and ends with empty 6 pounds. Generally, students are not encouraged to use more than three sections of each title.

1.7.2 段落文字

1.7.2 paragraph texts

采用小四号 (12pt) 字, 汉字用宋体, 英文和阿拉伯数字用 Times New Roman 体, 两端对齐书写, 段落首行左缩进 2 个汉字符。行距为固定值 20 磅 (段落中有数学表达式时, 可根据表达需要设置该段的行距), 段前空 0 磅, 段后空 0 磅。

Paragraph texts shall be with the font of minor No. 4 (12pt), Chinese in typeface of “Song”, English and Arabia digitals in typeface of “Times New Roman” and justify align. The first line of each paragraph shall be left indented two Chinese characters and the fixed 20 pounds spaces (if there are formulas, students can adjust the spaces for inserting formulas when needed), and it starts and ends with empty 0 pound.

1.7.3 脚注

1.7.3 Footnotes

正文中某句话需要具体注释、且注释内容与正文内容关系不大时可以采用脚注方式。在正文中需要注释的句子结尾处用1 2 3样式的数字编排序号,以“上标”字体标示在需要注释的句子末尾。在当前页下部书写脚注内容。

In the paragraph texts, if a sentence needs to be annotated and the annotation contents are not highly related to the texts, the annotation contents can be used in footnotes. The figures are arranged in the serial number of 123... and the “superscript” font is marked at the end of the annotated sentence in the text. Footnotes shall be written at the bottoms of the associated current pages.

脚注内容采用宋体小五号字,按两端对齐格式书写,单倍行距,段前段后均空 0 磅。脚注的序号按页编排,不同页的脚注序号不需要连续。详细规定见本页脚注。¹

The footnote contents shall be with typeface of minor “No.5 Song” justify align and single space, and it starts and ends with empty 0 pound. The serial numbers of footnotes shall be

compiled on the basis of different pages, and the serial numbers of footnotes of different pages do not need to be continuous, please refer to the footnote of this page for more details.

1.7.4 有关图表和表达式 图、表和表达式按章编号,用两个阿拉伯数字表示,前一数字为章的序号,后一

1.7.4 Tables, charts and expressions

Tables, charts and expressions shall be marked in two Arabia numbers on the basis of chapter numbers, the first figure for the chapter number and the second number for the tables, charts and expressions.

1 脚注处序号“1,……,10”的字体是“正文”,不是“上标”,序号与脚注内容文字之间空半个汉字符,脚注的段落格式为:单倍行距,段前空 0 磅,段后空 0 磅,悬挂缩进 1.5 字符;字号为小五号,汉字用宋体,外文和数字用 Times New Roman 字体。

1 the serial numbers of footnotes “1,……,10” are “texts” rather than “superscripts”, and there shall be a space of a half Chinese character symbol between each serial number and its associated text. The paragraph formats of footnotes are single space, start and end with empty 0 pound, and are indented 1.5 characters hanging, Chinese characters in typeface of “Song”, and English and Arabia digitals in typeface of “Times New Roman”.

Chapter 1 content and format

数字为本章内图、表或表达式的顺序号。两数字间用半角小数点“.”连接。例如“图 2.1”，“表 5.6”，“式(1.2)”等等。若图或表中有附注，采用英文小写字母顺序编号，附注写在图或表的下方。

Numbers are the sequence of tables, charts and expressions of a chapter. Two numbers marked for a table, chart and expression are linked by half of a decimal point ".", for example, figure 2.1, table 5.6, formula (1.2), etc. If there is a note for a chart or a table, students shall use the lowercase English letters to compile the sequence and write the notes below the associated chart or table.

图图应精选，具有自明性，切忌与表及文字表述重复。图应清楚，但坐标比例不要过分放大，同一图上不同曲线的点要分别用不同形状的标识符标出。图中的术语、符号、单位等应与正文表述中所用一致。图序与图名，例如：“图 2.1 1901-2011 年西北地区年平均气温分布”。“图 2.1”是图序，是“第二章第 1 个图”的序号，依次类推。图序与图名置于图的下方，采用宋体 11pt 字居中书写，段前空 6 磅，段后空 12 磅，行距为单倍行距，图序与图名文字之间空一个汉字符宽度。

Figures

Figures should be sophisticatedly selected with its clear explanations and avoiding the duplication of the tables and texts. The diagrams should be clear but don't exaggerate the proportions of coordinates, the points of

different curves on the same graph should be marked with different shapes and symbols. The terminologies, symbols, units and texts of the figure/diagram should be firmly consistent with those of the texts. Figure sequence and name, for example: “Figure 2.1 Distribution of annual mean temperature Northwest China from 1901 to 2011”; amongst, “Figure 2.1” is the serial number of the first section of the “Chapter 2”, and the like. The names and serial numbers of figures and diagrams shall be put under the associated figures and diagrams, and shall be aligned center with typeface of “Song”, font 11p and single space, and it starts with empty 6 pounds and ends with empty 12 pounds; and there is a space (width) of a Chinese character between the serial number and name of a figure or diagram.

图中标注的文字采用 9~10.5pt, 以能够清晰阅读为标准。专用名字代号、单位可采用外文表示, 坐标轴题名、词组、描述性的词语均须采用中文。

In order for reading very clearly, the texts of a figure or diagram shall be with font 9~10.5pt. Special name codes and units can be expressed in a foreign language, and the axis titles, phrases and descriptions shall be expressed in Chinese.

如果一个图由两个或两个以上分图组成时, 各分图分别以(a)、(b)、(c).....作为图序, 并须有分图名。

If a figure/diagram is composed of two or more separate subfigures, each subfigure shall be marked (a), (b), (c)... as its sequence and must contain different corresponding names.

如需英文图名,应中英文对照,英文图序与图名另起一行放中文下方。英文序号和内容应和中文一致,如“Fig 2.1 Distribution of annual mean temperature Northwest China from 1901 to 2011”。

If you need a figure or diagram in English, it should be translated from Chinese. The serial numbers and names in English shall be placed in another line under the associated numbers and names in Chinese; more importantly, the serial numbers and contents should be consistent with those in Chinese, for instance, “Fig 2.1 Distribution annual mean Northwest China from temperature 1901 to 2011”.

表中参数应标明量和单位的符号。表单元格中的文字采用 11pt 宋体字,单倍行距,段前空3磅,段后空3磅。表序与表名,例如:“表 4.1 植被功能类型及编号”。“表 4.1”是表序,是“第四章第 1 个表”的序号,依次类推。表序与表名置于表的上方,采用宋体 11pt 字居中书写,段前空 12 磅,段后空 6 磅,行距为单倍行距,表序与表名文字之间空一个汉字符。

Tables

The parameters in the tables should indicate the symbols of the quantity and the unit. Table cell texts shall be with typeface of “Song”, 11pt font and single space, and it starts and ends with empty 3 pounds. The serial numbers and names, for example, “Table 4.1 Plant Function Type (PFT) and number ” means that Table 4.1 is the serial number and it is the first table of Chapter 4, and the like. Table serial numbers and names shall be placed at the top of the

tables, and with typeface of “ Song”, font 11pt and single space, and it starts with empty 12 pounds and ends with empty 6 pounds; and there is a space (width) of a Chinese character between the serial number and the table name.

当表格较大,不能在一页内打印时,可以“续表”的形式另页打印,格式同前,只需在每页表序前加“续”字即可,例如“续表 4.1 植被功能类型及编号”。

If the table is too large to be printed in one page, it can be printed in another separate page with the words of “to be continued” with the same print format. With only “ to be continued ” words, a table can be printed in two pages, for example, “To be continued Table 4.1 Plant Function Type (PFT) and number ”.

若在表下方注明资料来源,则此部分用宋体五号字,单倍行距,段前空 6 磅,段 后空 12 磅。需要续表时,资料来源注明在续表之下。

If there are notes for the citations/sources, which shall be with the typeface of No.5 “Song” and single space, and it starts with empty 6 pounds and ends with empty 12 pounds; if the continued tables are needed, notes for the citations/sources shall be placed under the continued tables.

如需英文表名,应中英文对照,英文表序与表名另起一行放中文下方。英文序号 和内容应和中文一致,如“Table 4.1 Plant Function Type (PFT) and number”。

If you need a table in English, it should be translated from Chinese. The serial numbers and names in English shall be placed in another line under the associated numbers and names in Chinese; more importantly, the serial numbers and contents should be consistent with those in Chinese, for instance, “Table 4.1 Plant Function Type (PFT) and number”

表达式 表达式主要是指数字表达式, 例如数学表达式, 也包括文字表达式。

Expressions

An expression is a numeric expression, such as a mathematical expression, as well as a literal expression.

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Guidelines for Electronic & Hardcopy Dissertation of Graduate Degree

表达式采用与正文相同的字号居中书写, 或另起一段空两个汉字符书写, 一旦采用了上述两种格式中的一种, 全文都要使用同一种格式。表达式应有序号, 序号用括号括起置于表达式右边行末, 序号与表达式之间不加任何连线。

The expressions are aligned center and written in the same font size as the text, or written in another paragraph with

the space of two Chinese characters. Once a student chooses either one format of above two formats for the thesis/dissertation, and he/she must adopt the consistent format for the entire thesis/dissertation. The expressions should contain serial numbers, which are in brackets and shall be put at the end of the right side of the expression lines, and there is no dash between the serial numbers and the expressions.

表达式行的行距为单倍行距,段前段后各空 6 磅。当表达式不是独立成行书写时,有表达式的段落的行距为单倍行距,段前段后各空 3 磅。

The expressions shall be in single space, and it starts and ends with empty 6 pounds. If an expression is not suitable for writing as an independent line, the paragraph with this expression shall be in single space, and it starts and ends with empty 3 pounds.

1.8 参考文献

1.8 Reference

参考文献是论文中用到的直接引语(数据、公式、理论、观点等)或间接引语及作者曾经阅读过的相关文献信息资源,是论文的 necessary 组成部分。撰写学位论文时要注意引用权威的和最新的文献。

Reference, such as data, formula, theory, idea, is the direct speech or indirect speech cited in the theses/dissertations. There are necessary parts of a thesis/dissertation: direct speech or indirect speech plus literature resources a student has read. When writing a dissertation, a student shall pay attention to cite/refer to the reliable, and latest literatures.

著录参考文献必须实事求是, 论文中引用过的文献必须著录, 未引用的文献不得出现。

References must be cited on the basis of facts, and the literatures must be recorded once they are cited. The literatures shall not present in a dissertation if not cited.

参考文献集中著录于正文之后, 不得分章节著录。属于外文文献的, 直接使用外文著录, 不必译成中文。

The entire references of the thesis/dissertation shall be recorded at the end of the dissertation, and is not allowed to record them on the basis of each chapter. If a cited literature is in English, its reference is just direct cited without translating into Chinese.

“参考文献”四个字与章标题格式相同。参考文献表的正文部分用五号字, 汉字用宋体, 英文用 Times New Roman 体, 行距采用固定值 16 磅, 段前空 3 磅, 段后空 0 磅, 标点符号用半角符号。

Reference in Chinese is four words and shall be with the same format of chapter title. The reference texts in Chinese and in English shall be with the typeface of No.5 with typeface of “Times New Roman”, respectively; the texts are with fixed value of 16 pounds starting with empty 3 pounds and ending with empty 0 pound, and the format of punctuations is semi angle sign.

参考文献的著录方法和文献的标注方式有关, 可采用“顺序编码制”和“著者-出版年制”。“顺序编码制”是指正文中索引文献时, 用顺序编号的方法标注文献。文献序号放“[]”内, 以上标方式标注在索引位置。“著者-出版年制”是指索引文献处

用文献著者和出版年度标注文献,一般著者和出版年度放“()”内,以逗号分隔,标注在索引位置。

The record method of reference is related to the noting method of reference, and there are two methods of recording reference: one is called “sequence encoding system index document style”; another is called “the author-publication year”. The former refers to using the method of sequence numbering in the indexing of documents in the texts. The serial numbers of documents is marked in the index of “[]” in superscript mode of citations. The later refers to cite the literatures based on the authors and published years, which are separated by commas and generally put into the parenthesis “()” in superscript mode of citations.

以“顺序编码制”索引文献时,其参考文献应按索引对应编号顺序著录。以“著者-出版年制”索引文献时,参考文献应按文种分类著录,按著者字母顺序排序,中文文献放前方。

参考文献的具体著录方法和标注方法见附录 A。

Employing “sequence encoding system index document style”, the references should be recorded and indexed on the basis of corresponding serial numbers; employing “the author-publication year”, the references should be recorded and indexed on the basis of the literature classification and of the first letter of the author sorted alphabetically, and put the Chinese literatures at the first part.

参考文献的具体著录方法和标注方法见附录 A

Please refer to Appendix A for the specific descriptions of detailed recording reference and annotation methods.

1.8 附录

1.8 Appendixes

附录是与论文内容密切相关、但编入正文会影响整篇论文的条理性和逻辑性的一些资料,是论文主体的补充项目,并不是必须的。以下内容可置于附录之内:

- a. 放在正文内过分冗长的公式推导;
- b. 方便他人阅读所需要的辅助性教学工具或表格;
- c. 重复性数据和图表;

The appendixes, which are the material and information affecting the logic and organized views of the thesis/dissertation if they are put in the texts, are closely relevant to the contents of the paper, and are supplements to the main body of the paper but is unnecessary. The following can be included in the appendixes:

- a. Formula derivations are too long to put in the text;
- B. The required supplementary teaching tools or tables are easy for others to read;
- C. Repetitive data and charts;

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第一章 内容及格式

Chapter 1 content and format

- d. 非常必要的程序说明和程序全文;
 - e. 关键调查问卷或方案等。
- 附录的格式与正文相同,并依顺序用大写字母 A, B, C,编序号,如附录 A, 附录 B, 附录 C,。只有一个附录时也要编序号,即附录 A。每个附录应有标题。附录序号与附录标题

之间空一个汉字符。例如：“附录 A 参考文献著录规则及注意事项”。

d. very necessary procedure explanations and instructions;
e, key questionnaires or programs. The format of appendix is the same as those of the thesis/dissertation contents, and generally sequence uppercase letters (A, B, C,...) work as the serial number of appendies, such as appendix A, appendix B, appendix C,...if there is only one appendix for your dissertation, it is still needed to compile as appendix A. There is a title with corresponding appendix, and there shall be a space of one Chinese character between the serial number and title, for instance, “Appendix A Recording methods and notes for reference”.

附录中的图、表、数学表达式、参考文献等另行编序号,与正文分开,一律用阿拉伯数字编码,但在数码前冠以附录的序号,例如“图 A.1”,“表 B.2”,“式(C-3)”等。

It is necessary to separate the texts and compile additional serial numbers for tables, figures and charts, mathematical expressions and reference; these serial numbers shall be written in Arabia numbers with preceded uppercase English letters, such as “Figure A.1”, “Table B.2”, “Formula (C-3)”, and so on.

1.10 致谢、原创性声明和授权使用说明

1.10 Acknowledgement, Original declaration and authorization announcement of thesis/dissertation for degree of Peking University

学位论文正文和附录之后,一般应放置致谢(后记或说明),主要感谢导师和对论文工作有直接贡献和帮助的人士和单位。致谢言语应谦虚诚恳,实事求是。字数不超过 1000 个汉字。

Acknowledgement (afterword or description), which thank the advisor(s), other individuals and units who has guided or helped for the work of the thesis/dissertation, shall be put after the texts and appendix. Acknowledgement should be based on facts, modest and sincere, and shall not be more than 1,000 words.

一般致谢的对象有:(一)指导或协助指导完成论文的导师;(二)国家科学基金、资助研究工作的奖学金基金、合同单位、资助或支持的企业、组织或个人;(三)协助完成研究工作和提供便利条件的组织或个人;(四)在研究工作中提出建议和提供帮助的人;(五)给予转载和引用权的资料、图片、文献、研究思想和设想的所有者;(六)其他应感谢的组织和个人。学位论文原创性声明和授权使用说明是固定格式、内容,从系统下载、打印放入即可。致谢(后记或说明)、学位论文原创性声明和授权使用说明是论文的最后两项内容,目录中和章同级。电子版不签字,装订版要签字。如果论文还有其它内容,如个人简历、在学期间发表的学术论文和成果等,可以放附录之后、致谢之前。发表论文列表要求同参考文献列表格式。

Individuals and organizations of general acknowledgment are as: Firstly, advisor(s) who guided or assisted in the dissertation completion; Secondly, other individuals, units or organizations who funded to support the research work, for instance, the National Science Foundation, the Scholarship Fund for research work and other enterprises, organizations or individuals;

Thirdly, organizations or individuals who assisted in providing convenient conditions for completion of the research work; Fourthly, individuals who gave constructive advice and help; Fifthly, individuals who provided the reference, material and information, reproduced pictures and documents, and research thoughts and ideas; Lastly, other organizations and individuals who shall be grateed. It is a fixed format and content for **Original declaration and authorization announcement** and students are able to download it from the system, print it out and put it in the thesis dissertation. There are last two parts of the thesis/dissertation: acknowledgement (afterword or description) and **original declaration and authorization announcement**, respectively; and the levels of these two parts in Table of contents are the same as those of chapters. Students don not need to sign on electronic version but need to sign on binding version. If there are other contents of the thesis/dissertation, such as resume and academic papers published, can be placed in after the appendix and before acknowledgement. The format of listing of published papers is the same as the listing format of reference.

1.11 页面设置

纸张大小:标准 A4(21.0 cm×29.7cm) 尺寸。

页边距:上、下、左、右、装订线的页边距分别为:3.0cm, 2.5cm, 2.6cm, 2.6cm, 0cm, 装订线位置:左。左右对称页边距。

1.11 Page settings (setup)

Paper size: standard A4 size (21.0 cm×29.7cm)

Margins: The upper and lower, left and right, gutter margins are as, 3.0cm, 2.5cm, 2.6cm, 2.6cm and 0cm, respectively. Binding line: left. Left and right symmetrical margins.

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7 Peking University

Guidelines for Electronic & Hardcopy Dissertation of Graduate Degree

页眉和页脚:页眉距边界 2.0cm, 页脚距边界 1.75cm。

Header and footer: The header 2.0cm from the border and the footer 1.75cm from the border.

页眉内容:从“摘要”到最后,每一页均须有页眉。页眉用五号宋体,居中排列,奇偶页不同。奇数页页眉为相应内容的名称、正文中相应各章的名称,偶数页页眉为“北京大学博士学位论文”或“北京大学硕士学位论文”。格式为页眉的文字内容之下划一条横线,线粗 0.75 磅,线长与页面齐宽。

Header content: starting from the page of "abstract" to the end, each page must have a header. The contents of the header shall be aligned center with the typeface of No. 5 "Song", but the header contents are different between odd and even pages. Odd page header shall contain the corresponding names of contents and chapters in the text; even page header shall mark for "Doctoral dissertation of Peking University" or "Master's degree thesis of Peking University". The text format of the header shall be underlined with 0.75 pounds and the line length shall be the same as the page width.

页脚内容:页码。封面和原创声明不要页码,从“摘要”开始至“目录”(或图表目录、主要符号对照表)结束,页码用罗马数字“I、II、III.....”表示;从“第一章 引言”开始至论文结束,页码用阿拉伯数字“1、2、3.....”表示。

Footnote contents: page numbers. The cover and **Original declaration are exempt for page numbers**, there are Roman page numerals as “I、II、III.....”, starting from “Abstract” to “Table of contents (list of figures, graphs and tables or the Table of Main Abbreviations and Expressions)”. There are Arabia page numerals as “1、2、3.....”, starting from “Chapter I introduction/foreword” to the end of the paper.

页码置于页脚中部, 采用 Times New Roman 五号字体, 数字两侧不加修饰线。经学位办公室批准的英文学位论文, 格式要求同上。论文须用中文封面。

Page numbers shall be in the middle of footnotes with typeface of No. 5 Times New Roman without modified lines.

Theses/Dissertations for degrees in English, which are approved by the degree office, are required the same format as above. A theses/dissertations must have covers in Chinese.

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第二章 论文主要部分的写法

8

Chapter 2 Writing methods and requirements of main body

第二章 论文主要部分的写法

Chapter 2 Writing methods and requirements of main body

学位论文的书写,除表达形式上需要遵循一定的格式要求外,内容上也要符合一定的要求。

通常学位论文只能有一个主题(不能是几块工作拼凑在一起),该主题应针对某学科领域中的一个具体问题展开深入、系统的研究,并得出有价值的研究结论。学位论文的研究主题切忌过大。

For the writing methods of the thesis/dissertation's main body, not only the expression forms but also the contents are necessary to meet certain requirements.

Generally, there is only one theme rather than a few pieces of work combining, and it shall be focusing on the systematical research in-depth for a specific problem of a subject in the field of the theme, and draw valuable conclusions. The theme of the thesis/dissertation should not be too large.

2.1 论文的语言及表述

2.1 Language and expressions

学位论文是学术作品,因此其表述要严谨简明,重点突出,专业常识应简写或不写,做到立论正确、层次分明、数据可靠、文字凝练、说理透彻、推理严谨,避免使用文学性质的或带感情色彩的非学术性语言。

论文中如出现一个非通用性的新名词、新术语或新概念,需随即解释清楚。

Degree theses/dissertations are academic papers, so the rigorous expressions should be concise, focused and well structured along with reasonable hypotheses, reliable

data, thorough reasoning and concise text. Technical terms and terminologies could be abbreviated or not; students shall avoid using of literary nature or emotional non-academic language.

It is necessary to explain clearly and thoroughly when a new term, word or concept specifically expressed but not universally used in the theses/dissertations.

2.2 论文题目的写法

论文题目包含的关键词是检索论文的重要信息,因此题目应简明扼要地反映论文工作的主要内容,切忌笼统。论文题目应该是对研究对象的准确具体的描述,这种描述一般要在一定程度上体现研究结论,因此,好的论文题目不仅应告诉读者这本论文研究了什么问题,更要告诉读者这个研究得出的结论。

2.2 Writing methods/requirements of dissertation topics

Keywords included in the thesis/dissertation topics are the most important information to search or retrieve the papers, thus the topics shall be very concise to the points rather than general. The topics should describe accurately to the study of the specific objects and the descriptions should reflect the conclusion of the research work to a certain extent; therefore, a good topic should not only tell the readers what the paper is studied, but also tell the readers of the research conclusions.

2.3 摘要的写法

论文的摘要,是对论文研究内容的高度概括,应包括:对问题及研究目的的描述、对研究方法和过程进行的简要介绍、对研究结论的简要概括等内容。摘要应具有独立性、自明性,应是一篇简短但意义完整的文章。

通过阅读论文摘要,读者应该能够对论文的研究方法及结论有一个整体性的了解,因此摘要的写法应力求精确简明。论文摘要切忌写成全文的提纲,尤其要避免“第一章……;第二章……;……”这样的陈述方式。

2.3 Writing methods/requirements of the abstract

The abstract of a thesis/dissertation is a condensed summary of the research work, which shall include the description of the problem and the purpose of the study, the brief introduction of the research method and process, and the summary of the research conclusion, etc. The abstract should be independent and self-explanatory and should be a very brief but completely meaningful article.

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2.4 引言的写法

引言主要论述论文的选题意义、国内外研究现状、本论文要解决的问题、论文运用的主要理论与方法、基本思路及论文的结构等。大致包含如下几个部分:1、问题的

提出;2、选题背景及意义;3、文献综述;4、研究方法;5、论文结构安排。

问题的提出:要清晰地阐述所要研究的问题“是什么”。

选题背景及意义:要论述清楚为什么选择这个题目来研究,即阐述该研究对学科发展的贡献、对国计民生的理论与现实意义等。

文献综述:要对本研究主题范围内的文献进行详尽的综合述评,“述”的同时一定要有“评”,指出现有研究状态,仍存在哪些尚待解决的问题,讲出自己的研究有哪些探索性内容。

研究方法:要讲清论文所使用的科学研究方法。

论文结构安排:要介绍本论文的写作结构安排。

2.4 Writing methods/requirements of foreword or introduction

The introduction part mainly discusses the significance of the topic, the research status domestically or internationally, the suggested solving problems, methodologies and theories employed in the paper, the basic trait of thought and the structure, and so on. This part includes: 1, the proposition of the problem; 2, the background and significance of the topic; 3, the literature review; 4, the research methodologies and 5, the paper structure arrangement.

The question is proposed to clarify what kind of the question to be studied in the thesis/dissertation.

The background and significance of the topic: why the student should choose this topic to do the research, i. e., the contributions of the study to the development of the

subject and the theoretical and practical significance to the national economy and national livelihoods.

Literature review: comprehensively reviewing the detailed literatures related to the theme of this study scope by describing as well as evaluating and criticizing the literatures. Students shall be able to point out the research status in a specific field, which remains what kind of unsolved problems, and provide what the exploratory contents are in their own research work.

Research methods: scientific research methods used to clarify the thesis/dissertation.

Structure of this paper: students must detail the organized structure of the thesis.

2.5 “第二章, 第三章, ……., 结论前的一章” 的写法

本部分是论文作者的研究内容, 不能将他人研究成果不加区分地掺和进来。

各章之间要存在有机联系, 组织上要符合逻辑顺序。

2.5 Writing methods/requirements of “Chapter 1, 2, ... to the chapter before conclusions”.

This part is the research contents of the thesis/dissertation, and is not allowed to get involved or add others' research results into it.

There is an organic connection between the chapters, and the organization should sound logically.

2.6 结论与展望的写法

最后一章结论与展望着重总结论文的创新点或新见解及研究展望或建议。

2.6 Writing methods/requirements of conclusions and forecast/prospect/further research

The last chapter is the conclusions and forecast/prospect/further research of the paper, which focuses on summarizing the innovation points and the new ideas, the research prospects, and suggestions.

结论是对论文主要研究结果、论点的提炼与概括,应准确、简明、完整、有条理,使人看后就能全面了解论文的意义、目的和工作内容。主要阐述自己的创造性工作及所取得的研究成果在本学术领域中的地位、作用和意义。

The conclusions are the research results of the thesis/dissertation, the refined and generalized arguments, and should be accurate, concise, complete and logic, so that the readers can understand the significance, purposes and contents of the thesis/dissertation. A paper mainly states the position, function and significance of a creative work and the achievements of the research in a specific field.

结论要严格区分自己取得的成果与导师及他人的科研工作成果。在评价自己的研究工作成果时,要实事求是,除非有足够的证据表明自己的研究是“首次”的、“领先”的、“填补空白”的,否则应避免使用这些或类似词语。

It is necessary for a student to strictly distinguish between the results obtained by his/her own and the scientific research achievements of advisor's and others. In the evaluation of his/her own research work, a student shall be realistic, unless indicated that there is sufficient evidence to demonstrate that his/her study is "the first time", "leading", "filling the blank", otherwise it should avoid the use of these similar words.

展望或建议,是在总结研究工作和现有结论的基础上,对该领域今后的发展方向及重要研究内容进行预测,同时对所获研究结果的应用前景和社会影响加以评价,从而对今后的研究有所启发。

Prospect/forecast or suggestions shall be based on the summarized research work and current existing results, predict the important research contents and future development in this field, and evaluate the application prospects and social impacts of the research results. Thus it inspires future research.

打印和装订要求²Chapter 3 Requirements of thesis/dissertation printing and binding²

1. 学位论文必须打印,不得手写。2. 除封面和原创性声明外,一律双面打印。3. 统一用印有我校正确校徽和校名的“硕士研究生学位论文”、“博士研究生学位论文”的封面。封面上各栏目必须认真、正确填写。4. 论文字迹和标点符号清楚、工整、正确,图表清晰、可复印和微缩。5. 学位论文一律在左侧装订。6. 封面纸应不低于 200 克标准。7. 书脊上应印上论文题名(如题名过长,应印成双列)、年份和学号。论文页数如

果不足 50 页,书脊需夹垫白纸增厚(加厚至 50 页)装订。8. 涉密学位论文应到保密办公室指定的地点装订,格式同普通论文。

1, Thesis/Dissertation must be written on computer and printed but not handwritten. 2, Except cover and original statement or declaration of thesis/dissertation, the rest will be printed on both sides. 3, The covers shall be in unified print with our school badge and name with marking as “master’s thesis” or “doctoral dissertation”. The columns on the cover must be carefully and correctly filled out. 4, Handwriting and punctuations must be accurate, clearly and neatly, photocopied and miniature. 5. Dissertations

are binding on the left side. 6, Cover paper should not be less than 200 grams of standard weight.

7, Thesis/dissertation titles, year and student numbers shall be printed on spines in one row or two rows if the title is too long. As the page numbers are less than 50 pages, the spine is needed to add pad thickening to reach the thickness of regular 50 pages in order to be binding properly.

8, Confidential thesis/dissertations shall be bound in a specific location designated by Secured Office and the binding format is the same as ordinary thesis papers.

2 电子版论文除不用签字外,内容应和纸质版完全一致,应是 1 个独立文件,可用 word 格式或 pdf 格式。 11

2 Except no signature on dissertations in electronic vision, the rest contents of it shall be the same as printed vision, and shall be an independent Word or Pdf format. 11

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[3] 国家技术监督局. GB3100—1993 国际单位制及其应用. 北京: 中国标准出版社, 1994.

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[6] People's Republic of China State Quality Supervision Inspection and Quarantine, Chinese National Committee of standardization. GB/T 7714 - 2005

文后参考文献著录规则. 北京: 中国标准出版社, 2005.

Afterwards are formats and rules of recording bibliographic references reference.

Beijing: China Standard Press, 2005.

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附录A 参考文献著录规则及注意事项

Appendix A Formats of recording bibliographic reference and notes

附录A 参考文献著录规则及注意事项³

Appendix A formats of recording bibliographic reference and notes³

根据中华人民共和国国家标准《文后参考文献著录规则》(GB/T 7714—2005)^[1], 按照提供目的划分, 参考文献可分为引文文献、阅读型文献和推荐型文献。引文文献是著者在撰写或编辑论著的过程中, 为正文中的直接引语(数据、公式、理论、观点等)或间接引语而提供的有关文献信息资源。阅读型文献是著者在撰写或编辑论著的过程中, 曾经阅读过的文献信息资源^[2,3]。推荐型文献通常是专家或教师为特定读者、特定目的而提供的、可供读者阅读的文献信息资源。学位论文中的参考文献主要指引文文献及阅读型文献, 是论文的必要组成部分。

According to the national standard of "People's Republic of China Bibliographic References" (GB/T 7714 - 2005) ^[1] and in accordance with reference classification, references can be divided into citation type literature, reading type literature and recommended type literature.

Citation type literatures provide direct speech, such as data, formulas, theories and ideas, or indirect speech of relevant literature information resources in the text for writing or editing works.

Reading type literature is the literatures read by the authors while writing or editing works by citing the literature information resources. [2,3]

The recommended type literatures are usually provided by the experts, teachers or professors for specific readers and purposes, and are kind of literature information resources read by readers. The bibliographic references of degree theses/dissertations are mainly referred to citations and recommended type literatures, which are the necessary components of theses/dissertations.

脚注与参考文献有所区别。参考文献是作者写作学术论文时所参考的文献,一般集中列于文末。参考文献序号用方括号标注,与正文中指示序号一致。脚注是对学术论文中某一特定内容所做的进一步解释或补充说明,一般排印在该页地脚,并用阿拉伯数字加圆圈标注^[4]。

References totally differ from footnotes. References are the literatures referred by students when writing academic papers, and are normally centralized at the end of the paper. The sequence of reference is marked with square brackets, which are consistent with the serial numbers in the texts of the thesis/dissertation. A footnote is a further explanation or a supplement of a specific content in academic papers, and generally is put on a page anchor with using Arabia digital circle labeling. [4]

A.1 几种主要类型的参考文献著录方法^[2]

几种主要类型的参考文献(专著、专著中的析出文献、连续出版物、连续出版物中的析出文献、专利文献、电子文献等)的著录项目与格式要求如下:

A.1 Recording methods of several main types of literature references^[2]

Recording methods and formats of several main types of references, such as monographs, extracted literatures from monograph serials, serial publications, extracted literatures from serial publications, patent literatures and electronic literatures, are as follows:

A.1.1 专著

指以单行本或多卷册形式,在限定期限内出版的非连续出版物。包括以各种载体形式出版的普通图书、古籍、学位论文、技术报告、会议文集、汇编、多卷书、丛书等。其著录格式为:[序号] 主要责任者. 题名: 其他题名信息 [文献类型标志(电子文献必备,其他文献任选,以下同)]. 其他责任者(任选). 版本项. 出版地: 出版者, 出版年: 引文起-止页码 [引用日期(联机文献必备,其他电子文献任选,以下同)]. 获取和访问路径(联机文献必备,以下同)⁴.

A1.1 Monographs

Monographs refer to the volume or volumes published in a limited period of discontinuous publication. Published in various forms including ordinary books, ancient books, dissertations, technical reports, conferences, compilation, multi volume books and series etc. The citation format of monographs is as follows, [serial number] principal author(s). Title: other title information [reference label (electronic document are required, other documents are optional, same as below). Principal author(s) (elective).

Edition/Version item. Published place: publisher, year: citation starting page –ending page number [citation date (online documents are required, other electronic documents are optional, same as below). Access path (online documents are required, same as below).⁴

示例如下:[1] 广西壮族自治区林业厅. 广西自然保护区. 北京: 中国林业出版社, 1993. [2] 霍斯尼. 谷物科学与工艺学原理. 李庆龙, 译. 2 版. 北京: 中国食品出版社, 1989:15-20. [3] 王夫之. 宋论. 刻本. 金陵: 曾氏, 1865 (清同治四年).

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3 摘录自《清华大学博士学位论文写作指南》相关部分, 经过了部分加工和调整。

4 各种文献著录格式中, 文献类型标志、引用日期、获取和访问路径为电子文献必备、其他文献任选项。

3 Extracting from the relevant parts of "Guidelines for Doctoral dissertation writing, Tsinghua University ", which has been processing and making adjustments.

4 Amongst all kinds of bibliographic formats, document type label, citation date, sign reference access path are required for electronic documents, other documents are optional.

北京大学研究生学位论文写作指南 [4] 赵耀东. 新时代的工业工程师[M/OL]. 台北: 天下文化出版社. 1998 [1998-09-26].

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[6] The National Publishing Professional Qualification Examination Office. The national publishing professional qualification examination counseling textbook: the theory and practice of middle professional level. 2004 edition. Shanghai Lexicographical Publishing House, 2004: 299-307.

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[9] Zheng Kaiqing. The communication system simulation and software [Master degree thesis]. Beijing: Radio Electronic Department, Tsinghua University, 1987.

A.1.2 专著中的析出文献指从整本文献中析出的具有独立篇名的文献。其著录格式为:[序号] 析出文献主要责任者. 析出文献题名[文献类型标志]. 析出其他责任者//专著主要责任者. 专著题名. 出版地: 出版者, 出版年: 析出的起-止页码[引用日期].

A.1.2 Extracted literatures from monograph serials refer to extract literature(s) with independent title(s) from a whole literature. Its citation format is as: [serial number] principal author(s) of the extracted literatures. Extracted literature title [literature type label]. Other author(s) of extracted literature // principal author(s) of monograph. Monograph title. Place of publication: publisher, year: extracted starting page number to ending page number [reference date].

获取和访问路径. 示例如下:

Access and access path. for instance,

[1]白书农. 植物开花研究//李承森. 植物科学进展. 北京: 高等教育出版社, 1998:146-163.

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A.1.3 连续出版物

A. 1. 3 Serial publications,

指一种载有卷期号或年月顺序号、计划无限期地连续出版发行的出版物, 包括以各种载体形式出版的期刊、报纸等。其著录格式为:[序号] 主要责任者. 题名: 其他题名信息[文献类型标志]. 年, 卷(期)- 年, 卷(期). 出版地: 出版者, 出版年[引用日期]. 获取和访问路径(联机文献必备). 示例如下:

Serial publications refer to the publications carrying volume number or chronological order number and likely indefinitely publishing and distributing, and it includes periodicals published in various carrier forms, such as magazines and newspapers, and so on. The citation format of serial publications is as, [serial number] principal author(s). Title: other title information [reference label]. Year, volume (No). published place, publisher, published year [citation/reference date] . Access and access path (online documentation are required), for example,

[1] 中国地址学会. 地质评论. 1936, 1(1)-. 北京: 地质出版社, 1936-.

[1] Chinese Address Society. Geological review. 1936, 1 (1). Beijing: Geological Publishing House, 1936-.

[2] 中国图书馆学会. 图书馆学通讯. 1957(1)-1990(4). 北京: 北京图书馆, 1957-1990.

[2] Library Society of China. Journal of library science. 1957 (1) -1990 (4). Beijing: Beijing library, 1957-1990.

[3] American Association for the Advancement of Science. Science. 1883, 1(1)-. Washington, D.C.: American Association for the Advancement of Science, 1883-.

A.1.4 期刊、报纸等连续出版物中的析出文献 14

A.1.4 Extracted literatures from serial publications, such as periodicals and newspapers 14

附录A 参考文献著录规则及注意事项

Appendix A Formats of recording bibliographic reference and notes

[序号] 析出文献主要责任者. 析出文献题名[文献类型标志]. 连续出版物题名: 其他题名信息, 年, 卷(期):页码[引用日期]. 获取和访问路径(联机文献必备). 示例如下:

[Serial number] principal author(s) of extracted literatures. Titles of extracted literatures [literature type label]. Titles of serial publications: other title information, year, Volume (No): page number[reference date], Access and access path (online documentation are required), for example,

. [1] 张旭, 张通和, 易钟珍, 等. 采用磁过滤MEVVA源制备类金刚石膜的研究. 北京师范大学学报: 自然科学版, 2002, 38(4):478-481.

. [1] Zhang Xu, Zhang Tonghe, Yi Zhongzhen, et al. Study on diamond film preparation of magnetic filter MEVVA source for the. Journal of Beijing Normal University: Natural Science Edition, 2002, 38 (4): 478-481.

- . [2] 周桂莲, 许育彬, 杨智全, 等. 认清市场形势化解“学报情结”: 我国农业学报的现状与发展趋势分析. 编辑学报, 2005, 17(3):209-211.
- . [2] Zhou Guilian, Xu Yubin, Yang Zhiquan, et al. Recognize the situation to resolve the "Journal of complex": analysis on current situation and potential development trend of agriculture in our country. Journal editors, 2005, 17 (3): 209-211.
- . [3] 傅刚, 赵承, 李佳路. 大风沙过后的思考[N/OL]. 北京青年报, 2000- 04-12(14) [2002-03-06].
<http://www.bjyouth.com.cn/Bqb/20000412/B/4216%5ED0412B1401.htm>.
- . [3] Fu Gang, Zhao Cheng, Li Jialu. The thinking/thoughts after sandstorm [N/OL]. Beijing Youth Daily, 2000- 04-12 (14) [2002-03-06].
<http://www.bjyouth.com.cn/Bqb/20000412/B/4216%5ED0412B1401.htm>.

A.1.5 专利文献

A. 1. 5 Patent literatures

[序号] 专利申请者或所有者. 专利题名: 专利国别, 专利号[文献类型标志(电子文献必备, 其他文献任选)]. 公告日期或公开日期[引用日期(联机文献必备, 其他电子文献任选)]. 获取和访问路径(联机文献必备). 示例如下:

[Serial number] patent applicant(s) or owner(s). Patent title: the nation of patent, patent No. [literature type label (electronic documents required, other documents optional)]. Announced/released date to public. The date [date of references (online documents required, other electronic documents Optional)]. Access and access path (online literature mandatory). For example,

[1] 刘加林. 多功能一次性压舌板: 中国, 92214985.2. 1993-04-14.

[1] Liu Jialin. Multifunctional disposable tongue depressor: China, 92214985.2. 1993-04-14.

[2] 西安电子科技大学. 光折变自适应光外差探测方法: 中国, 01128777.2 [P/OL]. 2002-03-06 [2002-05-28].

<http://211.152.9.47/sipoasp/zljs/hyjs-yx-new.asp?recid=01128777.2&leixin=0>.

[2] Xi'an Electronic and Science University. The detection method of Photorefractive adaptive optical heterodyne: China, 1128777.2 [P/OL]. 2002-03-06 [2002-05-28].

A.1.6 电子文献

A.1.6 Electronic literatures

以数字方式将图、文、声、像等信息存储在磁、光、电介质上, 通过计算机、网络或相关设备使用的记录有知识内容或艺术内容的文献信息资源叫做电子文献, 包括电子书刊、数据库、电子公告等。凡属电子图书、电子图书和电子报刊等中的析出文献的著录格式分别按上述有关规则处理, 除此之外的电子文献的著录格式如下: [序号] 主要责任者. 题名:其他题名信息[文献类型标志/文献载体标志]. 出版地:出版者, 出版年(更新或修改日期) [引用日期].获取和访问路径(联机文献必备). 示例如下:

Information, such as digital figures/charts/tables, text, sound and picture, stored in magnetic, optical and dielectric and recorded literature information sources such as knowledge contents or artistic contents through computer, network or related equipment, is called

electronic documents/literatures, which includes database, electronic books, electronic bulletins, etc.

凡属电子图书、电子图书和电子报刊等中的析出文献的著录格式分别按上述有关规则处理,除此之外的电子文献的著录格式[序号] 主要责任者. 题名:其他题名信息[文献类型标志/文献载体标志]. 出版地:出版者, 出版年(更新或修改日期)[引用日期].获取和访问路径(联机文献必备). 示例如下:

The citation format of extracted literatures from electronic books, electronic books and electronic newspapers shall be the same as above rules, and the citation format of rest of electronic documents otherwise is as: [Serial number] principal author(s). Titles: other title information [literature type/carrier label]. published location, publisher, published year (updated date or modified date), [reference date]. Access and access path (online documentation required), for example,

[1] 萧钰 . 出版业信息化迈入快车道 [EB/OL]. (2001-12-19) [2002-04-15]. <http://www.creader.com/news/200112190019.htm>.

[1] Xiao Yu. The publishing industry into the fast lane of informatization[EB/OL]. (2001-12-19) [2002-04-15]. <http://www.creader.com/news/200112190019.htm>.

[2] Online Computer Library Center, Inc. History of OCLC[EB/OL]. [2000-01-08]. <http://www.oclc.org/about/history/default.htm>.

[3] Scitor Corporation. Project scheduler[CP/DK]. Sunnyvale, Calif.: Scitor Corporation, c1983.

A.2 参考文献列表^[1]

参考文献表用五号字, 汉字用宋体, 英文用 Times New Roman 体, 行距采用固定值16磅, 段前3磅, 段后0磅。参考文献的标注方式和参考文献表列法, 可采用“顺序编码制”或“著者-出版年制”。确定采用某种方法后, 在正文中的标注方法和列表中的写法是一一对应的。参考文献表可以按“顺序编码制”组织, 也可以按“著者-出版年制”组织。参考文献表按“顺序编码制”组织时, 各篇文献要按正文部分标注的序号依次列出; 参考文献表采用“著者-出版年制”组织时, 各篇文献首先按文种集中, 可分为中文、西文、日文、俄文、其他文种等 5 部分; 然后按著者字顺和出版年排列。中文文献一般按汉语拼音字顺排列。

A.2 Reference list ^[1]

Reference list in Chinese shall be with typeface of No.5 “Song” and in English shall be with Times New Roman and fixed value 16 pounds, and it starts with empty 3 pounds and ends with empty 0 pound.

参考文献的标注方式和参考文献表列法, 可采用“顺序编码制”或“著者-出版年制”。确定采用某种方法后, 在正文中的标注方法和列表中的写法是一一对应的。参考文献表可以按“顺序编码制”组织, 也可以按“著者-出版年制”组织。

参考文献表按“顺序编码制”组织时,各篇文献要按正文部分标注的序号依次列出;参考文献表采用“著者-出版年制”组织时,各篇文献首先按文种集中,可分为中文、西文、日文、俄文、其他文种等 5 部分;然后按著者字顺和出版年排列。中文文献一般按汉语拼音字顺排列

There are two methods of recording reference and reference list: one is called “sequence encoding system index document style”; another is called “the author-publication year”. A student shall ensure to choose either one reference method for his/her dissertation, and then compile the reference list meeting the relevant requirements of the former or of the later. If a student chooses the former, he/she needs to mark the serial numbers as “[]” in superscript mode of citation for each reference with corresponding serial numbers in the text;

参考文献表采用“著者-出版年制”组织时,各篇文献首先按文种集中,可分为中文、西文、日文、俄文、其他文种等 5 部分;然后按著者字顺和出版年排列。中文文献一般按汉语拼音字顺排列

If a student chooses the later, he/she shall firstly to classify the reference in five parts based on the languages, which can be in Chinese, English, Japanese, Russian and other languages; and then list the reference on the basis of alphabetical order of authors' name and published year. Reference list in Chinese are basically in alphabetical order of Pinyin.

A.3 参考文献在正文中的标注法^[1]

A.3 Annotations of reference in the text^[1]

A.3.1 顺序编码制

A.3.1 Sequence encoding system index document style

1. 按正文中引用的文献出现的先后顺序用阿拉伯数字连续编码, 并将序号置于方括号中, 以上标形式放在句子的末尾。

1. According to the order of the literature cited in the text, students shall compile serial numbers by using the Arabia figures to code the sequence, and put the serial numbers in square brackets with superscript form at the end of the sentence.

2. 同一处引用多篇文献时, 将各篇文献的序号在方括号中全部列出, 各序号间用逗号, 如遇连续序号, 可标注起讫号“-”, 例如:

张三^[1]指出....., 李四^[2-3]认为....., 形成了多种数学模型^[7, 9, 11-13].....。

2. If there are many literatures cited for a text, it is necessary to list each reference with serial numbers in square brackets, and there are commas between serial numbers. If there are continuous serial numbers, which can be labeled “starting number to ending number”, for example, Zhang San^[1] indicated, Li Si Pointed out^[2-3].... constructing various mathematical models.

3. 同一文献在论著中被引用多次, 只编 1 个序号, 引文页码放在 “[]” 外, 文献表中不再重复著录页码。例如:

张中国等^{[4]15-17}....., 张中国等^{[4]55} 认为.....。

3. If a literature is cited many times for the text, students need to compile one serial number and put the cited page number in the "[]", and the reference list will not repeat it. For example, Zhang Zhongguo, et al^{[4]15-17} ... Zhang Zhongguo, et al^{[4]55} considered...

A.3.2 著者-出版年制

A. 3. 2 The author-publication year method

1. 正文引用的文献采用著者-出版年制时, 各篇文献的标注内容由著者姓氏与出版年构成, 并置于“()”内, 放在正文中引用了该文献的句子末尾。倘若只标注著者姓氏无法识别该人名时, 可标注著者姓名。集体著者著述的文献可标注机关团体名称。倘若正文语句中已提及著者姓名, 则在其后的“()”内只须著录出版年。例如:

..... (张中国, 2005),张中国(2005) 认为.....。

1. The literature cited by the author, published year, each citation shall contain the author surname and published year putting in the brackets "()", at the end of the sentence of this literature cited in the text. If only the author surname can be recognized without given name, students need to tag the surname. The literatures collectively written by a group of people can be marked as an organization. If the author name has been mentioned in the text, published year is needed to record subsequently in the brackets "()". For example,

... Zhang Zhongguo (2005), ... Zhang Zhongguo (2005) deemed...。

2. 引用多著者文献时, 对欧美著者只需标注第一个著者的姓, 其后附“et al”;对 中国著者应标注第一著者的姓名, 其后附“等”

字,姓名与“等”字之间留 1 个空格。例如:.....(张中国 等, 2005).....。

2. Students need to note the surname of the first author, and the rest authors shall be omitted and replace them with “et al” if a literature with many authors is cited in the text; students need to note surname and given name of the first author, and the rest authors shall be omitted and replace them with a word “等” if a literature in Chinese written by many authors, and it shall be left a space between the name of first author and the word “等”. For example:.... (张中国 等, 2005)

3. 在参考文献表中著录同一著者在同一年出版的多篇文献时, 出版年后应用小写.

3. In the reference list, the published year shall be written in lowercases if many literatures have been written and published by an author within a year.

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附录A 参考文献著录规则及注意事项

16

Appendix A Formats of recording bibliographic reference and notes

字母 a, b, c...区别。例如: Kennedy W J, Garrison R E. 1975a. Morphology and genesis of nodular chalks and hardgrounds in the Upper Cretaceous of southern England. *Sedimentology*, 22:311-386. Kennedy W J, Garrison R E. 1975b. Morphology and genesis of nodular phosphates in the Cenomaman of South-east England. *Lathaia*, 8:339-360. 4.

正文中多次引用同一著者的同一文献时, 在正文中标注著者与出版年, 并在“()”外以上标形式标注引文页码。例如:.....(张中国 等, 2005)¹⁵⁻¹⁷;.....张中国 等(2005)⁵⁵ 认为.....。

Distinguishing the writing in letters either in uppercases and lowercases, a, b, c.... for example, Kennedy W J, Garrison R E. 1975a. Morphology and genesis of nodular chalks and hardgrounds in the Upper Cretaceous of southern England. *Sedimentology*, 22:311-386. Kennedy W J, Garrison R E. 1975b. Morphology and genesis of nodular phosphates in the Cenomanian of South-east England. *Lithology*, 8:339-360. 4.

If a literature written by the same author(s) is cited many times for the text, students need to mark out the first author and published year in brackets “()” with cited page in superscript form. For example: ... Zhang Zhongguo, et al¹⁵⁻¹⁷... Zhang Zhongguo, et al⁵⁵ considered ...

A.4 文献著录中应注意的若干问题^[2]

A.4 Some reference problems needing attentions

A.4.1 参考文献著录只有一个标准

A.4.1 Only one standard for reference

现行有效的关于参考文献著录的国家标准只有一个,即《文后参考文献著录规则》(GB/T 7714—2005),这是一个基础性的国家标准,适用于各个学科、各种类型的出版物。今后我校学位论文的参考文献著录和在正文中的标注方式不再区分理工科还是人文社科,统一按照国家标准的规定,在“顺序编码制”和“著者-出版年制”两种方法中任选其一。

There is only one national standard named "Bibliographic References" (GB/T, 7714-2005), which is a current effective reference for bibliographic references and is a foundation of national standard and applicable to various types of disciplines, subjects and publications.

In the near future, there will be indifferent References for theses/dissertations between students of **science and engineering** and students of humanities and social sciences at our school, in accordance with the unified provisions of national standards, students can choose either sequence encoding system index document style or the author-publication year for the dissertation reference.

A.4.2 正文中标注参考文献时的注意事项

A. 4. 2 Notes of reference in the text annotation

(1) 用阿拉伯数字顺序编码的文献序号不能颠倒错乱；

(1) Literature serial numbers encoding sequence in Arabia digitals cannot be reversed.

(2) 序号用方括号括起, 同一处引用几篇文献, 各篇文献的序号应置于一个方括号内, 并用逗号分隔；

(2) The serial numbers are enclosed in square brackets, and several references are cited in the same text. The serial number of each cited literature should be placed in a square bracket and separated by a comma；

(3) 多次引用同一作者的同一文献, 只编 1 个首次引用时的序号, 但需要将本次引用该文献的页码标注在顺序号的方括号外;

(3) For multiple references to the same document with the same author(s), students need to compile only one for the first time reference number, and to put this reference page number marked outside the bracket of the serial number.

(4) 文献表中的序号与正文中标注的文献顺序号要一一对应;

The serial numbers in reference list shall be the same with corresponding serial numbers noted in the text.

(5) 作者可选择采用“顺序编码制”或“著者-出版年制”, 但在同一篇论文中要统一。

A student might choose either sequence encoding system index document style or the author-publication year for the, dissertation reference; however, the reference format shall be consistent for a dissertation once a student choose one.

A.4.3 参考文献表著录时的注意事项

A. 4. 3 Notes for reference list

(1) 文后参考文献表原则上要求用文献本身的文字著录。著录西文文献时, 大写字母的使用要符合文献本身文种的习惯用法;

Reference list at the end of dissertation principally requires literature index/ text description of the literature itself. Reference of the western literature shall use uppercase letters to comply with the idioms language type of literature itself.

(2) 每条文献的著录信息源是被著录文献本身。专著、论文集、科技报告、学位论文、专利文献等可依据书名页、版本记录页、封面等主要信息源著录各个项目; 专著或论文集中析出的篇章及报刊的文章, 依据参考文献本身著录析出文献的信息, 并依据主要信息源著录析出文献的出处; 网络信息依据特定网址中的信息著录;

(2) Recording information source is the description of each documented literature itself. Monographs, thesis/dissertation collection, scientific and technical reports, degree dissertations, patents can be major source of reference from the information of the title page, page, version record page and cover; literatures extracted from monographs or thesis/dissertation collection and from newspapers shall be referred on the basis of extracted literatures itself or principal information sources. Network information is referred on the basis of information description of specific URL.

(3) 采用“顺序编码制”组织的参考文献表, 每条文献的序号要加方括号“[]”, 采用悬挂格式, 将序号悬挂在外;

(3) If a student adopt to use “sequence encoding system index document style” for listing the references, he/she

shall add the serial number of each document into square brackets [], and use suspension format with suspending the serial numbers;

(4) 采用“著者-出版年制”组织参考文献时, 每条文献不必加序号, 采用悬挂格式, 悬挂缩进 2 个汉字符或 4 个字符;

(4) If a student adopt to use "the author-publication year" for listing the references, it is unnecessary for her/him to add serial number of each document but shall use suspension format with indented two Chinese characters or four characters.

(5) 书刊名称不应加书名号, 西文书刊名称也不必用斜体;

(6) 中文刊名应用全称, 西文刊名可参照ISO 4《信息与文献出版物题名和标题缩写规则》的规定缩写, 缩写点可省略。

(5) The book name should not add book title number, English books shall not be written in italics;

(6) Book name in Chinese shall be used its full name but Western publication shall be abbreviated in accordance with ISO4 "Information and literature publications title and title abbreviation rule", so that abbreviation points can be omitted.

A.4.4 著录责任者的注意事项

A.4.4 Notes for author(s)

(1) 责任者为 3 人以下时全部著录, 3 人以上可只著录前 3 人, 后加“、等”, 外文用“, et al”, “et al”不必用斜体;

(1) If a literature is written by less than three authors, who need to be recorded for reference purpose; if a literature is written by more than three authors, the former three of them need to be recorded for reference purpose, and the rest authors shall not be recorded instead of “, et al” without using *Italic* in English and of “, 等” in Chinese.

(2) 责任者之间用 “,” 分隔;

(2) There shall be a comma “,” to separate the author names.

(3) 欧美著者的名可缩写, 并省略缩写点, 姓可用全大写; 如用中文译名, 可以只著录其姓。例如: Einstein A 或 EINSTEIN A (原题: Albert Einstein), 韦杰 (原题: 伏尔特·韦杰);

(3) The author given name of Westerner can be abbreviated and the omitting abbreviated points, but the surname shall be all in uppercases; if the Westerner name have been translated into Chinese, the surname will only be recorded for reference purpose. For example, In English: Einstein A or EINSTEIN A (full name: Albert Einstein), In Chinese: 韦杰 (原题: 伏尔特·韦杰)

(4) 中国著者姓名的汉语拼音的拼写执行GB/T 16159—1996的规定, 名字不能缩写。例如: Zheng Guangmei 或 ZHENG Guangmei;

If the authors are Chinese, their names shall be recorded in accordance with GB/T 16159—1996, and the full Chinese names are not be abbreviated. For example, Zheng Guangmei or ZHENG Guangmei.

(5) 不必著录主要责任者的责任。例如：陈浩元. 科技书刊标准化18讲(原题：陈浩元主编. 科技书刊标准化18讲)；

(5) Do not describe the main responsibilities of principal authors. For example: Chen Haoyuan. Chapter 18 Standardization of scientific and technical books and periodicals. (Original: Chief Editor: Chen Haoyuan, Chapter 18 Standardization of scientific and technical books and periodicals.);

(6) 不要求著录责任者的国别、所在朝代；

(6) The authors' countries and dynasties are not required to state for reference purpose.

(7) 机关团体名称应由上至下分级著录。例如：中国科学院数学研究所(原题：中国科学院数学研究所)；Stanford University. Department of Civil Engineering(原题：Department of Civil Engineering, Stanford University)。

(7) Organizational units name should be recorded in accordance with top to bottom down classification. For example, Chinese Academy of Sciences, The Institute of Mathematics, (Original: The Institute of mathematics, Chinese Academy of Sciences); Stanford University. Department of Civil Engineering (Original: Department of Civil Engineering, Stanford University)。

A.4.5 参考文献表中数字的著录

A, 4.5 Notes for digitals of reference

(1) 卷期号、年月顺序号、页码、出版年、专利文献号等用阿拉伯数字。卷号不必用黑体。页码、专利文献号超过 4 位数时,不必采用三位分节法或加“,”分节,国外专利文献号中原有的分节号“,”在参考文献著录时删去;

(1) Volume (series) numbers, chronological order numbers, page numbers, published years and patent document numbers shall be written in Arabia numbers. Volume (series) numbers shall not be in bold and no need to use black volume number. The page number and number of patent document with more than 4 digits shall be written without using three bit segmented method or adding a comma “,”. The separated symbol “,” of patent document numbers shall be removed for reference purpose.

(2) 出版年或出版日期用全数字著录;如遇非公历纪年,则将其置于“()”内。例如:2005-08-10, 1938(民国二十七年);

(2) Published years or dates shall be written/described in full digitals description; if a year was in non-Gregorian calendar, it shall be placed in the brackets of “()”. For example: 2005-08-10, 1938 (Twenty-seven years of Republic of China)

(3) 版本的著录采用阿拉伯数字、序号缩略形式或其他标志表示,第 1 版不著录,古籍的版本可著录“写本”、“抄本”、“刻本”等。例如:3 版(原题:第三版或第3 版), 5th ed.(原题:Fifth

(3) Arabia digitals, the abbreviations of serial number or others are used to express edition description. The first edition is not recorded and the ancient books bibliographic shall be described as a version of “handwritten”, “copy” or “block-printed edition”.

For example: 3rd edition (original title: the third or the Third Edition), 5th ed. (original title: Fifth Edition).

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附录A 参考文献著录规则及注意事项

18

Appendix A Rules and notes of bibliographic reference

A.4.6 可作变通处理的著录项目

A.4.6 Changeable literature items

(1) 某一条参考文献的责任者不明时, 此项可以省略(采用“著者-出版年制”时 可用“佚名”或“Anon”);

(1) If the author is not found for a literature, so that the author can be omitted, or it can be replaced as “anonymous” or “Anon” if reference method of “the author-publication year” is adopted.

(2) 无出版地可著录[出版地不详]或[S.1.], 无出版者可著录[出版者不详]或[s.n.];

(2) It can be described as [unknown] or [S.1.] if the published place are not known. It can also be described as [S. n.] or [s.n.] if the publisher is not found;

(3) 出版年无法确定时, 可依次选用版权年、印刷年、估计的出版年, 估计的出版年置于“[]”内;

(3) When it is impossible to determine the year of publication, the published year shall be estimated in terms of the copyright year, the printing year and the estimated published year, which shall be placed into brackets “[]” for bibliographic reference .

(4) 未正式出版的学位论文, 出版项可按“保存地: 保存单位, 保存年”顺序著录。例如: 北京: 中国科学院物理研究所, 2004 Berkeley: Univ of California Depart of Phys, 2005

Unpublished formally dissertations, publication part of bibliographic reference shall be described as “stored place: stored units and saved year”. For example, Beijing: Institute of physics, Chinese Academy of Sciences, 2004. Berkeley: Univ of California Depart of Phys, 2005

(5) 采用“著者-出版年制”标注时, 联机文献的出版年根据更新或修改日期著录;

倘若无更新或修改日期时, 则可著录引用日期, 并将其置于方括号内。例如:(李 中国, 2006)。.....(张华, [2005])。Skinner G. 2001. A new code of ethics for librarians? ALA codes and Johan Bekker’s proposals [EB/OL]. (2001-03-02) [2004-05-10]. <http://www.redgraven>.....

(5) Published years of online documents shall be described on the basis of updated or revised date if the method of the author-publication year is adopted for bibliographic reference; or published years of online documents shall be described as the referenced date placed into the brackets “[]” if the updated or revised date is not found. For example, ... (Li, China, 2006)..... (Zhang Hua, [2005]). Skinner G. 2001. A new code of ethics for librarians? ALA codes and Johan Bekker’s proposals [EB/OL]. (2001-03-02) [2004-05-10]. <http://www.redgraven>.....

(6) 当文献中载有多个出版地或多个出版者时, 只需著录第1个出版地或出版者;

Only the first publication place and publisher are described for **bibliographic reference** if there are many publication places and publishers of a literature.

(7) 如果专著被作为阅读型和推荐型参考文献引用, 其引文页码可以不著录;

(7) If a monograph is used as a read and recommended reference documents, the cited page number are not recorded;

(8) 其他可以灵活处理的著录项目对 GB/T 7714—2005 未作“必须”、“应当”等规定的著录项目, 同一出版物可选定一种, 并做到前后一致。每条文献结尾可加“.”, 图书的文献一般不加。文献类型标志, 非电子文献任选。电子文献的引用日期非联机文献可以不著录。西文的著者名、刊名一般采用缩写字母, 但也可以采用全名; 如果采用缩写字母, 其缩写点可以省略, 也可以保留。其他责任者可不著录(如果著录, 则须标注其责任, 如“译”、“指导”等)。纯电子文献的出版地、出版者、出版年可以省略(引用日期必须著录)。期刊中析出文献的页码一般著录文章的起讫页, 也可只著录起始页。责任者的姓, 其字母可以全大写, 也可只首字母大写。GB/T 7714—2005 并未做出全大写的规定, 但有“大写字母的使用要符合文献本身文种的习惯用法”的指示, 在 外文文献中其实也是 2 种著录法并存。

Other bibliographic reference items, which are not designated as “must” or “shall/might” by GB/T 7714—2005,

shall be chosen one consistent method to record it. A period “.” might be added at the end of each literature; however, a cited book might usually not. Literature type symbol and non electronic type literature are either added a period or not. The cited date of electronic but non-online type literature might not be recorded. The authors and journal names of the western generally use the acronym/initials/abbreviations, as well as full names; if a student uses acronym/initials/abbreviations, the points can be omitted or retained. Other authors are not recorded (if recorded, other authors shall be indicated their work/ responsibility, such as “interpreter” and “advisor”).

Publication place, publisher and year of publication of pure electronic literatures can be omitted (referenced date must be recorded). The page numbers of extracted literature from journals are generally recorded from the beginning page to the ending page or the beginning page only. The authors’ names can either be all uppercase or be capitalized the first letter. The author names are not designated as uppercases by GB/T 7714 -2005; however, there is a guide for author names adopting the “usage” of uppercase letters to the language itself in accordance with the instructions in the foreign language literature. There are actually coexisting two types of bibliographic description method of Westerns.

A.4.7 正确著录期刊文献的年份、卷、期、页

A.4.7 The correct bibliographic reference of the year, volume, period and page number

示例 1: 年, 卷(期):页

Sample 1: Year, Volume (period): page

示例 2: 年, 卷:页

Sample 2: Year, Volume: page

示例 3: 年(期):页

Sample 3: Year (period): page

示例 4: 年(合期号):页 在同一刊物连载的文献, 其后续部分不必另行著录, 可在原参考文献后直接注明后续部分的年份、卷、期、页。

Sample 4: Year (joint issue): page The published literature series in the same journal, the subsequent parts of this series are not needed to record further bibliographic but its subsequent year, volume, issue and page might be indicated.

示例 5: 年, 卷(期):页; 年, 卷(期):页 2005, 15(1):12-15; 2005, 15(2):18-20

Sample 5: Year, Volume (phase): page; Year, Volume (phase):
page 2005, 15(1):12-15; 2005, 15(2):18-20

A.5 文献类型、电子文献载体类型及其标志代码说明

A.5 Explanations for the carrier type and symbol code of electronic documents and literatures

电子文献类型和载体类型标志是必备的著录项目。非电子文献类型可以省略。学位论文类型的文献必须明确标注。中文硕士学位论文标注[硕士学位论文], 中文博士学位论文标注[博士学位论文], 外文学位论文标注[D]。

The electronic document type and the type of carrier symbol are the necessary parts of bibliographic reference. Non-electronic document type can be omitted. The literatures of dissertation type must be clearly marked. Chinese master's degree thesis shall be marked as [master degree thesis], Chinese doctoral dissertations shall be marked as [dissertations for Doctoral candidates], and theses/dissertations of foreign language degree shall be marked as [D].

国标 GB/T 7714—2005 列出的文献类型标志如下: 普通图书 M, 会议录 C, 汇编 G, 报纸 N, 期刊 J, 学位论文 D, 报告 R, 标准 S, 专利 P, 数据库 DB, 计算机程序 CP, 电子公告 EB。

In terms of The national standard GB/T 7714 - 2005, literature types are listed as follows: ordinary books M, proceedings C, Co-authored G, newspaper N, journal J, degree thesis/dissertation D, report R, standard S,

patent P, database DB, computer program CP, electronic bulletin EB.

会议录 C 指座谈会、研讨会、学术年会等会议的文集;汇编 G 指多著者或个人著者的论文集;S 标志的文献还包括政策、法律、法规等文件。

Proceedings C refers to the collections of the forums and symposiums, seminars and academic annual meetings; Co-authored G refers to thesis/dissertation collections of multiple authors or an individual author; S refers to the literatures including policies, laws and regulations and other documents.

电子文献载体类型标志如下:磁带 MT, 磁盘 DK, 光盘 CD, 联机网络 OL。

The carrier types of electronic documents are as follows: tape MT, disk DK, CD and online network OL.

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