

國立陽明交通大學資訊管理與財務金融學系財務金融博士班研究生修業規章
(113 學年度入學新生適用)

Graduate Program of Finance
Department of Information Management and Finance
National Yang Ming Chiao Tung University
Academic Regulations for Doctoral Students
(Applicable to students admitted in academic year 2024)

111.03.16 110 學年度第 4 次系課程委員會通過修訂
Stipulated at the 4th Academic Affairs Meeting in Academic Year 2021 (16 March 2022)

111.03.23 110 學年度第 4 次系務會通過修訂
Stipulated at the 4th Academic Affairs Meeting in Academic Year 2021 (23 March 2022)

112.03.15 111 學年度第 4 次系課程委員會通過修訂
Stipulated at the 4th Academic Affairs Meeting in Academic Year 2022 (15 March 2023)

113.03.20 112 學年度第 5 次系課程委員會通過修訂
Stipulated at the 5th Academic Affairs Meeting in Academic Year 2023 (20 March 2024)

第一條 為督促本系財務金融博士班研究生(以下簡稱博士生，含一般生與在職生)進修，特依據本校研究生學位授予作業規章，訂定本規章。

1. In order to supervise and encourage its students of the doctoral students of Graduate Program of Finance (referred to as IOF PhD program hereunder, including full-time and on-job students) to study, the Graduate Program of Finance follows "National Yang Ming Chiao Tung University Regulations for Master and Doctoral Degrees Conferment" to stipulate Academic Regulations for Doctoral students of Graduate Program of Finance.

第二條 財務金融博士班(以下簡稱財金博士班)一般生之修業期限以二至七年為限；在職生之修業期限以二至九年為限。

2. For the doctoral students of Graduate Program of Finance (referred to as IOF PhD program hereunder), the study period of full-time students is limited within two to seven years, and that of on-job students is within two to nine years.

第三條 本校學生符合本校逕修讀博士學位作業規定之申請資格者並經原就讀系所或相關教學單位助理教授以上二人推薦，得依規定向財金博士班申請逕行修讀博士學位，由財務金融博士班委員會(以下簡稱財金博委會)負責審查，並將審查結果報系務會議核定。相關作業細節依本校逕行修讀博士學位作業規定辦理。

3. Students having studied in NYCU may apply for the IOF PhD program, if they acquire recommendations of two or more teachers of original department or other related institutes. The Doctoral Program Committee of Graduate Program of Finance (referred to as IOF PhD Program Committee hereunder) should review the applications, and submit the review result to the Academic Affairs Meeting for approval. The relevant detailed operations should be performed in accordance with "National Yang Ming Chiao Tung University Regulations for Direct Admission to PhD Program."

第四條 本校其他系所博士班研究生若欲轉入財金博士班就讀，須先獲得原就讀系所之同意，且獲得本系教師二人以上推薦，方得提出申請，由財金博委會負責審查，並將審查結果報系務會議核定。

4. PhD students of other departments or graduate institutes of NYCU may apply to transfer to IOF PhD program, if they acquire the approval of the original departments or institutes, and acquire recommendations of more than two teachers from our department. IOF PhD Program Committee should review the applications, and submit the examination result to the Academic Affairs Meeting for approval.

第五條 修課規定:

- 一、財金博士班分為「財金組」及「AI組」2組；博士生修課，需至少符合其中任一組之規定；應修習之課程內容，依本博士班之修課規定辦理。
- 二、已有碩士學位者，畢業學分至少須修滿37學分。
- 三、直攻博士學位者，自進入博士班起，其畢業學分至少須修滿43學分(包含逕行修讀博士學位之前已修習之學分)。
- 四、詳細之修課規定，由財金博委會另訂之。修課規定中訂定之必修課程皆須於申請博士學位考試前修畢且及格。必修或選修課程若曾於入學前修習通過，可申請免修，但不得抵免。

5. Program requirements:

- (1) IOF PhD program consists of two groups, "Finance group" and "AI group", At least one group requirement of the two should be fulfilled by IOF PhD Students. The content of the courses to be taken shall followed the "Academic Requirements for Doctoral Students."
- (2) Students who owns master degree should complete at least 37 credits for graduation.
- (3) Students who transfer to doctoral program from master's program should complete at least 43 credits for graduation (including the courses taken before transferring.)
- (4) The detailed program requirements should be stipulated by the IOF PhD Program Committee separately. All required courses stipulated in program requirements should be completed and passed before students applying for PhD degree defense. Any required or elective courses which is completed before admission may be applied for exemption, but cannot be waived.

第六條 博士生修習非本系開授之課程且列入畢業學分者，需於修課當學期開學之前提出申請，並經由財金博委會審查通過；經由財金博委會審查通過之課程，視同本系開課，不列計外系所課程學分。

6. If IOF PhD students hope to take the courses in financial field offered by other departments or graduate institutes and will included into the graduation credits, they should apply for the approval of the IOF PhD Program Committee before the semester begins. Courses approved by the IOF PhD Program Committee will be regarded as the courses offered by our department.

第七條 財金博士班資格考每學期舉行一次，博士生須於期限內通過資格考，本博士班研究生需於入學後第三學年上學期內通過資格考(不包含休學期間)。本博士班研究生於期限內未通過資格考試者，即予以退學。資格考相關規定，由財金博委會另訂之。

7. The PhD candidate qualification examination (comprehensive test) of IOF PhD program is held once a semester, and IOF PhD students should pass the qualification examination before the 1st semester of the 3rd academic year after admission (excluding the suspension period). Students who do not pass the PhD candidate qualification examination within the period, are required to drop out of NYCU. The related regulations of the PhD candidate qualification examination should be stipulated by IOF PhD Program Committee separately.

第八條 博士生於通過資格考後：

- 一、須在當學期擇定指導教授，至遲應於資格考通過一年內擇定指導教授，逾期未敦請指導教授者由系主任約談。
- 二、指導教授須為本系之專任助理教授(含)以上教師。若有系外共同指導，須經財金博委會同意。指導教授指導博士生上限為每屆1人，任一年度至多僅能

指導 5 名博士生。本校教師與研究生具有配偶、前配偶或三親等內之血親或姻親，或曾有上述關係者，不得擔任其論文指導教授。

- 三、研究生自博三下學期起至畢業論文口試前，每學期須於「博士班論文研討」課程中報告論文進度。
- 四、研究生於就讀期間，如擬終止論文指導關係或更換論文指導教授，應以書面文件向本系提出申請，經完成本系規定之程序後生效，無須經原指導教授同意。研究生申請終止論文指導關係或更換指導教授時，在原指導教授提供原始構想或概念及受指導下所獲得之研究成果，須經原指導教授同意，始得作為學位論文。研究生提出之學位論文與本系專業領域不符或有違反學術倫理情事時，由教師評審委員會審議指導教授應負之相應責任。
- 五、指導教授欲終止指導關係，應依規定，以書面文件向本系提出申請，由本系協調，並通知研究生審查結果。終止指導關係後，本系得協助研究生另覓指導教授。研究生無法覓得指導教授或指導教授因生病、辭職、出國或其他因素無法再繼續指導時，本系應提供研究生必要之協助。
- 六、本條文第四項及第五項追溯適用財金博士班全體在學學生。
- 七、本條文若有未盡事宜或有爭議時，依據本校「論文指導教授與研究生互動準則」辦理。

8. After IOF PhD students pass the PhD candidate qualification examination,

- (1) They should select the advisors in the same semester. The advisors should be selected within 1 year at most after students pass the qualification examination. Otherwise, they should be interviewed by the department chairperson.
- (2) The advisors should be the teachers who are the full-time assistant professors of our department or above. The quota of one advisor is one doctoral student per session and in total five doctoral students at most per academic year. No advisor can be the spouse, ex-spouse, or have had blood relative or in-law within three degrees of consanguinity of the students.
- (3) They should report the progress of dissertation in the course, "Seminar in Finance for Doctoral Students," in each semester after the 2nd semester of the 3rd academic year before dissertation defense.
- (4) During the study period, if students are planning to change advisor, they should submit a written application to the department and the application will be effective after completed the department process and the application doesn't need the consent of the original advisor. When students changed advisor, they will need the consent of the original advisor if they are going to use the research result which is come from the guidance of the original advisor as their degree thesis. When students' degree thesis does not conform to the professional field of our department or violates academic ethics, the Faculty Evaluation Committee shall review the corresponding responsibilities of their advisor
- (5) The advisors who plan to terminate the guidance to students, in accordance with the regulations, should submit a written application to the department, and the department will process the application and notify results to the students. After the termination of guidance to students, the department may assist students to find another advisor. The department should assist students to find another advisor if students cannot find an advisor or their advisor is unable to guide them because of sickness, resigned, go-abroad or other reasons.
- (6) The fourth and fifth items of this rule are applied retrospectively to all IOF PhD students.
- (7) Matters not covered in this rule shall be handled in accordance with the National Yang Ming Chiao Tung University Guidelines for interaction between advisors and graduate students.

第九條 博士生修業兩年(含)以上，修畢規定課程(經審核可免修者除外)，修滿課程 37 學分(逕行修讀博士學位者 43 學分)(不含先修課程；非本系開設之課程最多採計 6 學分，經財金博委會審查同意之相關課程不在此限。)且通過資格考者，經指導教授推薦，得依規定申請為博士候選人。

9. IOF PhD students may apply for being the PhD candidates if they have studied for more than two years, completed the regulated courses (except the exemptions after approval), fulfilled 37 credits requirement (43 credits requirement for students admitted to the PhD program from master's program directly) (at most 6 credits of the courses offered by other departments or graduate institutes can be adopted, excluding the preliminary courses, courses approved by the IOF PhD Program Committee are excluded), passed the PhD candidate qualification examination (comprehensive test), and are recommended by their advisor.

第十條 博士生申請論文計劃書口試前，須通過資格考，且已有明確具體之研究方向。論文計劃書口試由指導教授安排以公開方式進行，口試委員除指導教授外，並推薦相關領域教授二至三人共同擔任。論文計劃書口試須於入學後四年內通過(不包含休學期間)，否則即予退學。

10. Before applying for the oral defense of dissertation proposal, IOF PhD students should pass the PhD candidate qualification examination (comprehensive test) and possess specific and particular research direction. The oral defense of dissertation proposal must be conducted openly by the advisor. Moreover, 2 or 3 scholars and experts of related research fields should be recommended to be the members of oral defense in addition to the advisor. However, IOF PhD students should pass the oral defense of dissertation proposal within four years after admission (excluding the suspension period), or they are required to drop out of NYCU otherwise.

第十一條 外籍生在財金博委會同意下，可申請至臺灣聯合大學系統修讀應修課程中的「基礎課程」以及「其他選修課程」；申請通過後，其所修讀臺灣聯合大學系統之課程，可視同本系開設之課程，但最多採計 15 學分。

11. Under the approval of IOF PhD Program Committee, the foreign students can study the "basic courses" and "other elective courses" offered by the University System of Taiwan (UST), and the courses will be regarded as the courses offered by our department, but at most 15 credits of the courses can be adopted.

第十二條 學位考試含論文考試及論文審查。研究生應於學位考試之前完成「論文原創性比對」，供學位考試委員參考。

12. The degree defense consists of oral defense and dissertation review. Student who conducts the oral defense shall first complete the "thesis originality check" and submit the result to the members of the oral defense committee.

第十三條 博士生於申請博士學位考試前，須滿足下列條件：

一、具備博士候選人資格。

二、通過論文計劃書口試。

三、博士生入學後，須於國際期刊中發表論文，且發表之論文須符合下列條件：

(一) 論文須以國立陽明交通大學資訊管理與財務金融學系全銜發表，且研究主題須為財務金融相關之論文。

(二) 除博士學位論文外，發表論文篇數及期刊等級須符合下列其中一項之規

定：

1. 至少 2 篇論文發表於由財金博委會通過之 TSSCI 期刊或 SSCI 期刊或 SCI/SCIE 期刊或國科會之財會學門中財務與會計領域排序 B+(含)等級以上之期刊；其中論文發表於由財金博委會通過之 TSSCI 期刊僅限 1 篇。
2. 至少 1 篇論文發表於國科會之財會學門中財務與會計領域排序 A_{Tier-1} (含)等級以上之期刊。

(三) 發表的期刊論文必須至少 1 篇與指導教授共同發表。若發表之文章有與本博士班其他研究生共同發表者，僅限 1 人用以申請列入畢業條件。

四、入學前兩年內或入學後通過本校語言中心舉辦之英語能力鑑定測驗或托福(TOEFL)測驗(成績 Paper Base 550 分(含)以上、或 Computer Base 213 分(含)以上、或 Internet Base 80 分(含)以上)或國際英語測試 (IELTS) 6.5 級 (含) 以上或多益測驗(TOEIC)730 分(含)以上或全民英檢測驗(中高級(含)以上)或選修通過本校語言中心開設之研究生英語訓練課程。

五、本條文第三項第三款規定追溯適用財金博士班全體在學學生。

13. Before applying for the PhD oral defense, IOF PhD students should fulfill the following requirements:

- (1) being eligible for a PhD candidate.
- (2) passing the oral defense of dissertation proposal.
- (3) students should publish their papers in international journals, and the publication should fulfill the following requirements:
 - A. papers should be published with the full name of our Department. The research topic should be related to the financial field.
 - B. the number of published papers and the categories of published journals should fulfill one the following requirements:
 - a. published at least two papers in journals listed in SSCI, or SCI/SCIE, or in TSSCI journals that admitted by the IOF committee, or in other B+ (included) journals in financial and accounting category of NSTC (acceptance letter or PDF file of published papers should be attached); only one paper can be published in TSSCI journals that admitted by the IOF committee.
 - b. published at least one paper in journals listed in A_{Tier-1} (included) journals in financial and accounting category of NSTC (acceptance letter or PDF file of published papers should be attached).
 - C. At least one paper should co-author with advisor. If the published paper is co-authored by more than two IOF PhD students, then only one IOF PhD student can use the published paper for graduation requirements.
- (4) After or within two years before enrollment, students need to pass the English proficiency test held by the Language Teaching and Research Center of NYCU, TOEFL (550 or higher on Paper Based Test, 213 or higher on Computer Based Test, or 80 or higher on Internet Based Test), or IELTS (6.5 or higher); or TOEIC (730 or higher); or General English Proficiency Test (High-Intermediate or above), or completing and passing the PhD student English training program offered by the Language Teaching and Research Center of NYCU.

第十四條 博士學位考試以口試行之，並依下列規定辦理：

- 一、財金博士班研究生之論文學位考試委員會置委員五至九人，由財金博士班就校內外學者專家中對該博士學位候選人之研究領域有專門研究，並

具備下列資格之一者，向校長推薦，由校長遴聘組成之。除指導教授外至少應有一位本系專任教師擔任口試委員，如本系無適當人選時，應以本院其他系所之專任教師擔任之，校內外委員均各須佔三分之一(含)以上。

(一)、現任或曾任教授、副教授、助理教授。

(二)、中央研究院院士、現任或曾任中央研究院研究員、副研究員、助研究員。

(三)、獲有博士學位，且在學術上著有成就者。

(四)、研究領域屬於稀少性或特殊性學科，且在學術或專業上著有成就。前項第三款至第四款之認定基準，由財金博委會訂定之。博士班研究生之配偶、前配偶或三等親內之血親、姻親，不得擔任其博士班學位考試委員。

二、口試以公開舉行為原則，須於事前公佈口試時間、地點及論文題目。

三、學位考試委員應親自出席，不得委託他人為代表，學位考試須至少有五名委員出席，始得舉行。

四、學位考試成績，以B⁻(百分制七十分)為及格，A⁺(百分制一百分)為滿分，並以出席委員評定分數平均決定之，但有三分之一(含)以上出席委員評定不及格者，以不及格論，不予平均。

14. The degree defenses for PhD students are generally conducted orally. All oral defenses must comply with the following rules:

(1) There will be five to nine members to form a committee for the IOF doctoral degree oral defense, and were choose from scholars and experts recommended by the IOF PhD Program. They must specialize in the area the applicant has studied and fulfill at least one of the following requirements. The committee members were screened and appointed by the university president. Besides the advisor, at least one full-time teacher of our department should be included in the committee. If there is no adequate committee member from our department, full-time teachers of other department or graduate institute of College of Management should be included. Moreover, the number of members either from inside or from outside of NYCU must be one-third or above of the total number of committee members.

A. Is or was a professor or associate professor or assistant professor.

B. Academicians of Academia Sinica, is or was a researcher or associate researcher or assistant researcher of Academia Sinica.

C. Holds a doctoral degree, and has outstanding academic achievements.

D. Has been researching in a rare, or specific field, and has outstanding academic or professional achievements.

The qualification criteria of items C and D should be drawn up at the meeting of the IOF PhD Program Committee. No committee member can be the spouse, ex-spouse, blood relative or in-law within three degrees of consanguinity of the PhD candidate.

(2) All oral defenses must be conducted openly. The time and place of the oral defense and the title of dissertation must be announced in advance.

(3) All members of an oral defense committee must attend the oral defense in person; stand-ins are not permitted. An oral defense for the doctoral degree may only take place when attended by at least five committee members.

(4) The passing grade of the oral defense is B⁻ (70 for percentage grades) and the full marks of the oral defense is A⁺ (100 for percentage grades). The result determined by the average scores given by the present committee members. Nonetheless, a candidate is regarded as failed and no average score should be calculated if more than one-third of present committee members give the scores below the passing grade.

第十五條 論文通過口試者由口試委員明示論文修改方向及要點，做為學生修改論文之依據，學生修改論文後應提交論文審查，論文審查至少須經三分之二考試委員同

意始為通過。論文審查不另評分，論文審查通過者，由出席論文考試之委員簽署「論文口試委員會審定書」。完成論文審定者，論文考試成績即為學位考試成績。修改後之論文定稿應完成論文原創性比對報告並經指導教授確認，且扣除引用學生本人為作者發表之文章比例之後，論文原創性比對相似度不得高於 20%。

15. For candidates passing the oral defense, members of the oral defense committee should demonstrate the directions and key points explicitly for the candidates' reference to revise the thesis. The candidates should submit the revised thesis for review. They will pass the review under the agreement of two-thirds of the oral defense committee members. The review does not offer the score separately. For candidates passing the dissertation review, " Thesis Approval Form " should be signed by all committee members of the oral defense. After candidates finish the thesis review, the score of thesis review will become the score of the oral defense. The final version of dissertation should complete the "thesis originality check" and confirmed by advisor. After deducting the proportion of articles published by the students themselves as authors, the originality check of the papers should not exceed 20%.

第十六條 學位考試通過後，學生應於考試當學期繳交「學位考試成績資料表」至註冊組，第一學期需於 1 月 31 日前繳交；第二學期需於 7 月 31 日前繳交。

通過學位考試之研究生，應繳交學位考試成績資料表、學位論文紙本、學位論文原創性比對報告、學位論文學術倫理暨原創性比對聲明書，將論文摘要及全文電子檔上網建檔，並完成畢業離校程序後，註冊組始得發給學位證書。

學位論文紙本之繳交期限為舉行學位考試日的次學期上課開始日前最後一個工作日，逾期未繳交論文紙本且未達修業年限者，次學期仍應註冊。

修業年限屆滿者，未於年限屆滿當學期繳交學位考試成績資料表或未於次學期上課開始日前最後一個工作日前繳交紙本論文，應予退學。

本條文追溯適用財金博士班全體在學學生。

16. If the students pass the oral defense, they should submit the Thesis Defense Grading Sheet to Division of registrar before end of the semester of oral defense. The first semester should submit the grades before January 31, and the second semester should submit the grades before July 31.

Students who pass the oral defense should submit the Thesis Defense Grading Sheet, hardcopy of dissertation, thesis originality check of the dissertation, and Statement of Academic Ethics and thesis originality check. The Division of Registrar will issue students the diploma after students upload the dissertation to the Electronic Theses & Dissertations System and complete the graduate leaving procedures.

If students do not submit the grades by the end of the maximum study period, the student is deemed failed and required to drop out of NYCU in accordance with regulations. The deadline of hand out the hardcopies of dissertation will be the last working day before the forthcoming semester begin after the oral defense. If students do not hand out the hardcopies before the due date, then they will need to pay tuition fee for the forthcoming semester if they are unexpired of study period.

If students are expired of study period and do not submit the grades in the latest semester or do not hand out the hardcopies of dissertation before the last working day of the forthcoming semester begin after the oral defense, the student is required to drop out of NYCU in accordance with regulations.

This rule is applied retrospectively to all IOF PhD students.

第十七條 凡逕行修讀博士學位之研究生，通過博士學位候選人資格考核，但未通過博士學位考試，其博士學位論文經博士學位考試委員會決定合於碩士學位標準者，

得授予碩士學位。

17. NYCU will confer a master degree upon a doctoral student who passes the PhD candidate qualification examination but fails the PhD oral defense, if the dissertation is approved by the oral defense committee as qualified for a master degree.

第十八條 博士生通過博士學位考試且完成論文者，即依規定授予管理學博士學位，重試以一次為限。博士生在規定修業期限內未能通過學位考試者，應令退學。

18. For the IOF PhD candidate who is approved by the PhD oral defense committee, NYCU will confer a doctoral degree in management upon the student. Retrial will be limited within once. Those who fail to pass the oral defense within the maximum study period are required to drop out of NYCU.

第十九條 博士學位論文(含摘要)以中文或英文撰寫為限，並須符合「國立陽明交通大學碩、博士學位論文格式規範」。學位考試通過後內應將論文摘要及全文電子檔上網建檔(依照「國立陽明交通大學圖書館學位論文摘要及全文電子檔建檔規範」辦理)，並繳交論文二冊(一冊本校圖書館陳列，一冊由教務處彙轉教育部指定之度藏單位收藏)，本系收藏冊數由財金博士班訂定。

19. Doctoral dissertation (including abstracts) must be written primarily in Chinese or English and comply with the "Thesis/Doctoral Dissertation Format Guide." A student is required to post an electronic version of the abstract and thesis on the university website after passing the oral defense (please refer to NYCU Library Abstract, Thesis and Dissertation Electronization Specification for details). A student must also submit two copies of the dissertation (one displayed in the library and one submitted to the Office of Academic Affairs for transmission to appropriate archival units specified by the Ministry of Education). The number of copies for collection in our department is determined by IOF PhD Program.

第二十條 本規章未盡事宜悉依本校研究生授予作業規章辦理之。

20. Matters not covered in this regulation shall be handled in accordance with the National Yang Ming Chiao Tung University Regulations for Master and Doctoral Degrees Conferment.

第二十一條 本規章適用學年度前入學之學生提出申請，並經指導教授及系主任同意後亦可追溯適用本辦法。

21. Applicable also to students admitted before the applicable academic year of this regulation retrospectively under the approval of student's advisor and the department chairperson.

第二十二條 本規章由系課程委員會會議訂定，經院課程委員會及校級課程委員會審查後實施，修訂時亦同。

22. The Regulations and their revisions will be implemented after being passed at the Academic Affairs Meeting, examined for approval at College Academic Office and University Academic Office. The same procedure will be applied if the regulation is amended.

The English regulations were drawn up in Chinese and translated into English. In the event of any discrepancy between the two versions, the original Chinese version shall prevail.