

國立中興大學財務金融學系

博士班修業辦法(107 級適用)

National Chung Hsing University Department of Finance and Banking Doctoral
Program Regulations (Applicable to the 107th cohort)

民國 96 年 08 月 31 日系務會議通過
Revised and approved by the department meeting on August 31, 2007
民國 99 年 04 月 13 日系務會議通過
Revised and approved by the department meeting on April 13, 2010
民國 99 年 06 月 23 日系務會議通過
Revised and approved by the department meeting on June 23, 2010
民國 99 年 10 月 28 日系務會議通過
Revised and approved by the department meeting on October 28, 2010
民國 100 年 08 月 24 日系務會議通過
Revised and approved by the department meeting on August 24, 2011
民國 103 年 02 月 12 日課程會議通過
Revised and approved by the department meeting on February 12, 2014
民國 106 年 12 月 28 日系務會議通過
Revised and approved by the department meeting on December 28, 2017
民國 107 年 03 月 15 日系務會議通過
Revised and approved by the department meeting on March 15, 2018
民國 107 年 06 月 14 日課程會議通過
Revised and approved by the department meeting on June 14, 2018

第一條、修業年限

博士班修業期限以二～七年為限。

1. The duration of the doctoral program is limited to 2 to 7 years.

第二條、學分及先修科目

博士班至少須修滿必修 3 門課 9 學分；選修 18 學分可碩、博互選但其中博士班選修課至少 4 門；研究論文 12 學分，共 39 學分方得畢業。此外，本系博士生須修習必要先修課程，課程科目及修習時間由系務會議決定。

2.Credits and Prerequisite Courses

Doctoral students must complete at least 3 required courses totaling 9 credits. An additional 18 credits of elective courses may be selected from both master's and doctoral programs, but at least 4 of the electives must be doctoral-level courses. Research papers account for 12 credits. A total of 39 credits must be completed in order to graduate. Additionally, doctoral students in this department must complete required prerequisite courses, the specific courses and the timing of which are determined by the department meeting.

第三條、主修科目

Major Subjects

科目名稱 Course Title		學分數 Number of Credits
1.	管理理論 Management Theory	3
2.	高等研究方法 Advanced Research Methods	3
3.	財務數學與衍生性金融商品 Financial Mathematics and Derivative Financial Instruments	3

第四條、資格考試

資格考試由系務會議負責命題及評分等事宜。博士班資格考試分「財務理論」、「財務計量研究方法」二項科目。博士生得於每學期結束前(上學期即 1/31 日前；下學期即 7/31 日前)向本系提出申請參加資格考試。上學期考試日期於 3/15 日前舉行，下學期考試日期於 9/15 日前舉行，每次考試於上午進行「財務理論」資格考試，下午進行「財務計量研究方法」資格考試，每科目考試 3 小時並由 1 位老師出題。博士生必須修畢本系所開設「管理理論」課程，方得申請「財務理論」資格考試；須修畢本系所開設「高等研究方法」課程，方得申請「財務計量研究方法」資格考試。資格考試以二次為限，若第二次資格考試仍未通過，得向系務會議申請補考，是否接受補考則由系務會議決議，補考以一次為限。

入學後新作且為第一或通訊作者之期刊論文得抵資格考試，經系務會議審查通過確定抵免後，不得再申請為學位考試之論文。西文期刊依國科會分類標準屬 A 級期刊者，1 篇抵 2 科資格考試；屬 B 級期刊者，1 篇抵 1 科考試，2 篇抵 2 科考試。TSSCI 核心管理期刊或「台灣管理學刊」列為 B 級期刊。

獲本系同意抵免資格考或認列為畢業門檻之論文，同一篇論文不得再申請為同一人或他人抵免資格考或畢業門檻論文等其它任何一項抵免，即同一篇論文僅限抵免一次。

4. Qualification Exam

The qualification exam is managed by the Department's faculty meeting, which is responsible for the preparation of the exam papers and grading. The doctoral qualification exam consists of two subjects: "Financial Theory" and "Financial Econometrics and Research Methods." Doctoral students may apply to take the qualification exam by the end of each semester (before January 31st for the spring semester; before July 31st for the fall semester). The exams for the spring semester will be held before March 15th, and for the fall semester, before September 15th. The "Financial Theory" qualification exam will be held in the morning, and the "Financial Econometrics and Research Methods" exam will be held in the afternoon. Each exam lasts for 3 hours and is prepared by one faculty member.

Doctoral students must have completed the Department's "Management Theory" course before applying for the "Financial Theory" qualification exam. They must have completed the "Advanced Research Methods" course before applying for the "Financial Econometrics and Research Methods" qualification exam. The qualification exam can only be attempted twice. If the student fails the second attempt, they may apply to the faculty meeting for a reexamination. Whether to allow the reexamination will be decided by the faculty meeting, and the reexamination is limited to one time.

Newly authored journal papers in which the doctoral student is the first or corresponding author, and published after enrollment, may be used to exempt from the qualification exams. Once the exemption is approved by the faculty meeting, it cannot be used again for the thesis examination. For English journals, those classified as A-level by the National Science Council are worth one paper for exemption from two subjects, while B-level journals are worth one paper for one subject, and two papers for two subjects. TSSCI core management journals or the "Taiwan Management Review" are classified as B-level journals.

For papers approved by the Department for exemption from the qualification exam or recognized as a graduation requirement, the same paper cannot be used again for exemption from the qualification exam or as a graduation thesis for the same person or any other person. The same paper may only be used for exemption once.

第五條、博士候選人

博士生修畢應修科目學分及通過資格考試後，取得博士候選人資格。

5. Doctoral Candidate

A doctoral student will be granted the status of doctoral candidate upon completion of the required course credits and successful passing of the qualification exams.

第六條、論文指導教授

博士班研究生入學後，應於第一學年結束前，商請合格之教師擔任其指導教授。論文共同指導教授最多不得超過三人，其中校外教授不得超過一人。

6.Thesis Advisor

After enrolling in the doctoral program, students must request a qualified faculty member to serve as their thesis advisor by the end of their first academic year. The number of co-advisors may not exceed three, with no more than one external advisor.

第七條、論文計畫書口試(proposal)

論文計畫書口試以口試審查行之，口試委員以符合教育部資格之助理教授（含）以上之教師為限，惟到場口試委員不得少於五位，其中校外口試委員需達三分之一以上。口試委員先行審查論文計畫書並舉行初試口試，通過後，再依規定之申請程序，報請博士學位論文口試。

7.Thesis Proposal Oral Defense

The thesis proposal oral defense is conducted through an oral examination. The examination committee must consist of faculty members who are assistant professors or higher, in accordance with the Ministry of Education's qualifications. There must be at least five committee members present, with at least one-third of them being external members. The committee will first review the thesis proposal and conduct a preliminary oral defense. Once passed, the student may proceed with the formal application process to schedule the doctoral dissertation defense.

第八條、學位考試委員會

博士學位考試委員會，由校內外教授或專家五人至九人組成，其中本系及校外委員各須三分之一(含)以上，委員會召集人由委員會推薦一名校外委員擔任之，但指導教授不得擔任召集人。

8.Doctoral Degree Examination Committee

The Doctoral Degree Examination Committee is composed of five to nine professors or experts, both from within and outside the university. At least one-third (including) of the members must be from the department and external members. The committee chairperson will be recommended from the external members, but the advisor cannot serve as the chairperson.

第九條、論文考試申請

博士生申請舉行論文考試前，應於下列之國內外學術期刊發表或被接受論文一篇，必需為第一或通訊作者（可與本所教師聯名，但需是進入博士班後新作），經系務會議審查通過，

- 一、中文期刊以 TSSCI 核心管理或經濟學門正式名單為範圍，投稿時或刊登時該期刊在名單上皆可；
- 二、國外期刊以 FLI、EconLit、SSCI 名單為範圍；

三、國際 A 級研討會接受並口頭報告一篇。論文考試申請時間及申請程序悉依照本校相關規定辦理。

博士學位考試日期須於論文計畫書口試(proposal)至少一個月後。
必需遵守全部必修課程及格後方能提出口試申請。

9.Thesis Examination Application

Before applying for the thesis examination, doctoral students must have published or had a paper accepted in one of the following academic journals, with the student as the first or corresponding author (co-authored with faculty members is allowed, but the paper must be written after entering the doctoral program). The paper must be reviewed and approved by the department meeting:

1. For Chinese journals, the scope includes the TSSCI core management or economics list. The journal must be included in the list at the time of submission or publication.
2. For international journals, the scope includes the FLI, EconLit, and SSCI lists.
3. For international A-level conferences, a paper must be accepted and presented orally.

The timeline and application procedures for the thesis examination will follow the relevant regulations of the university.

The doctoral degree examination must take place at least one month after the thesis proposal defense.

Students must pass all required courses before they can apply for the thesis defense.

第十條、畢業及畢業成績

博士生合於左列各項規定者，准予畢業。

- 一、在規定年限內修滿及通過規定科目與學分。
- 二、通過本規則規定之各項考試。
- 三、操行成績各學期均及格。

10.Graduation and Graduation Requirements

Doctoral students will be granted graduation if they meet the following requirements:

1. Complete and pass the required courses and credits within the prescribed duration.
2. Pass all examinations as stipulated in these regulations.
3. Achieve passing grades in their conduct for each semester.

第十一條、博士學位授予

合於前條規定之博士班研究生，經報請教育部核准博士學位資格，由本校發給學位證書，授與財務學博士學位（Doctor of Philosophy in Finance）候選人。

11.Awarding of Doctoral Degree

Doctoral students who meet the requirements specified in the previous article, and upon approval from the Ministry of Education for their doctoral degree qualifications, will be granted a degree certificate by the university, conferring the degree of Doctor of Philosophy in Finance (Ph.D. in Finance)

第十二條、本辦法經系務會議通過，簽請學校核備後公布之日起施行，修訂時亦同；本辦法未盡規定事項，悉依學校相關規定辦理。

12.This regulation was approved by the department meeting and will be implemented from the date of its publication, after being signed and filed for approval by the university. The same procedure applies when revisions are made. Any matters not covered by this regulation shall be handled in accordance with relevant university regulations.