

國立交通大學管理科學系 博士班研究生修業規章

88.9.15 八十八學年度第一學期第一次系務會議訂定
93.12.8 九十三學年度第一學期第三次系務會議修正通過
94.9.28 九十四學年度第一學期第一次系務會議修正通過
95.4.12 九十四學年度第二學期第二次系務會議修正通過
95.9.27 九十五學年度第一學期第一次系務會議修正通過
98.5.5 九十七學年度第二學期系務會議通訊投票修正通過
99.4.21 九十八學年度第二學期第二次系務會議修正通過
100.4.20 九十九學年度第二學期第二次系務會議修正通過
101.4.23 一〇〇學年度第二學期系務會議通訊投票修正通過
107.4.17 一〇六學年度第二學期系務會議通訊投票修正通過

- 第一條 為督促本系博士班研究生（以下簡稱博士生，含一般生與在職生）進修，特依據本校碩士學位及博士學位授予作業規章，訂定本規章。
- 第二條 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八年為限。
- 第三條 本校學生符合申請逕修讀博士學位資格者，得依「本系逕修讀博士學位作業規定」向本系申請逕行修讀博士學位，由博士班委員會負責審查，相關作業細節依「本校辦理學生逕修讀博士學位作業規定」辦理。
- 第四條 本校其他系所博士班研究生若欲轉入本系博士班就讀，須先獲原就讀系所之同意，且獲本系教師二人以上推薦，方得提出申請，由博委會負責審查，並將審查結果報系務會議核定。若獲通過，則自通過後之次一學年度起轉入本系就讀，原就讀系所之修業時間不納入修業期限內。
- 第五條 本系博士班研究領域包括（但不限於）「組織理論/行為」、「策略管理」、「行銷管理」、「財務金融」、「作業管理」、「人力資源管理」、「資訊管理」、「科技管理」以及「決策科學」等九組，得分組招生，並鼓勵跨領域之研究。
- 第六條 博士生必修「論文研討」課程兩學期。博士生先修課程包括「經濟學」、「會計學」、「統計學」、「管理學」等四科。專業選修課程則由本修業規章第五點所列九組領域中任選其中六領域各一門課程。方法類選修課程須任選三科；主修領域相關課程則須選修至少三門。上述各學分須內含修習「博士班專業課程」三門 9 學分（本院各系所所開授之博士班專業課程均予承認並列入「博士班專業課程」學分之計算），且皆須於申請博士學位考試前修畢且及格。除「博士班專業課程」外曾於入學前修習通過之課程可申請免修，但不得抵免畢業學分，免（抵）修需在新生入學後第一學期加退選結束前提出申請，逾期不再受理。課程體系表附於後。
- 第七條 博士生修習課程須經系主任或博士班委員會或指導教授同意。
- 第八條 博士班資格考上、下學期初由博委會統一舉行一次。資格考分兩部分，第一部分選考方法類二科，須於入學後二年內（含休學）通過，否則即予退學；第二部分須由本修業規章第 5 點所列九領域中任選一領域應考。資格考須於入學後三年內（含休學）通過，否則即予退學。
- 第九條 論文指導教授：

- 一、博士生於通過第一部分資格考後即可擇定指導教授，通過全部資格考後，須在半年內擇定指導教授向系所申報並報院行政主管會議核備，逾時未敦請指導教授則由系所辦公室通知辦理。
- 二、指導教授須為本系之專任助理教授（含）以上教師。若有共同指導，其中一人必須為本系專任助理教授（含）以上，且須經博士班委員會同意。並籌組研究指導委員會（其成員至少三人，由本系指導教授擔任召集人），向博委會報備。研究指導委員會負責督導並協助博士生研究之進行。
- 三、指導教授因故需更換時，應以書面文件向系所提出申請，並於通知原指導教授後生效，無須經原指導教授同意。研究指導委員會成員更換之規定亦同。
- 四、指導教授欲終止指導關係，應以書面文件向系所提出申請，審查結果由系所通知博士生。終止指導關係後，系所得協助博士生另覓指導教授。
- 五、博士生申請更換指導教授時，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。
- 六、博士生擇定指導教授後，除因連續休學一學年、出國參加交換學生、赴國外研究或確定畢業之學年度免修外，每學年應選修「個別研究」課程至少一次。

前項第三款、第四款、第五款追溯適用本系所在學學生。

- 第十條 教師可指導博士生人數為每屆二名。每位教師指導博士班人數至多 5 人。近 3 年內曾獲本校彈性薪資研究類獎勵之教師得放寬至 7 人。
- 第十一條 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 36 學分（逕行修讀博士學位者 78 學分）（不含先修及研討類課程學分），經研究指導委員會推薦，得依規定申請為博士候選人。
- 第十二條 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。論文計劃書口試由博委會安排以公開方式進行，口試委員除研究指導委員會教授成員外，另由博委會推薦相關領域教授一至二人共同擔任。論文計劃書口試須於入學後四年內（含休學）通過，否則即予退學。
- 第十三條 本系外籍生在本系同意下，其所修讀管理學院 IMBA 學程的課程可視同本系所開之課程。
- 第十四條 博士生於申請博士學位考試前，須滿足下列條件：
- 一、將論文主要內容以國立交通大學管理科學系全銜發表於知名期刊（SSCI 及 SCI 所收錄者一篇，須附論文抽印本或影印本或接受函證明）。
 - 二、通過托福（TOEFL-iBT 測驗成績 80 分（含）以上或後制之對等分數以上）、或全民英檢測驗（中高級（含）以上）、或多益（TOEIC）測驗成績

750 分（含）以上、或選修通過本校語言中心開設之博士班學生英語訓練課程。

第十五條 博士學位考試以口試行之，並依下列規定辦理：

一、本校各博士班研究生之論文學位考試委員會置委員五至九人，由系（所）就校內外學者專家中對研究生所提論文有專門研究，並具備下列資格之一者，向校長推薦，由校長遴聘組成之，校內外委員均各須佔三分之一（含）以上。

（一）、曾任教授者。

（二）、擔任中央研究院院士或曾任中央研究院研究員者。

（三）、曾任副教授或擔任中央研究院副研究員，在學術上著有成就者。

（四）、獲有博士學位，在學術上著有成就。

（五）、屬於稀少性或特殊性學科，在學術或專業上著有成就者。

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、博士生論文口試審查時，除指導教授外至少應有一位本系專任教師擔任口試委員。如無適當人選時，應以管理學院其他系所之專任教師擔任之。

五、學位考試成績，以七十分為及格，一百分為滿分，評定以一次為限，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。

前項第三款至第五款之提聘資格認定標準，由本系系務會議訂定之。

博士班研究生之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。

第十六條 博士生通過博士學位考試者，即依規定授予管理博士學位，並得標示主修領域。博士生在規定修業期限內未能通過學位考試或未能完成應修課程者，應令退學。

第十七條 博士學位論文（含摘要）以中文撰寫為原則，並需符合「國立交通大學學位論文格式規範」。學位考試通過後一個月內應將論文摘要及全文電子檔上網建檔（依照「國立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），並繳交論文三冊（一冊本校圖書館陳列，二冊由教務處彙轉教育部指定之典藏單位收藏），收藏冊數由本系訂定。

第十八條 本規章未盡事宜悉依本校碩士學位及博士學位授予作業規章、本校論文指導教授與研究生互動準則辦理之。

第十九條 本規章若逢修正，適用對象為修正通過後之次一學年度起入學之博士生。

第二十條 本規章由系務會議訂定，經院課程委員會及校級課程委員會審查，再送教務會議核備後實施，修訂時亦同。

National Chiao-Tung University –Department of Management Science

Policies and Procedures of Ph.D. Program

Approved September 15, 1999, by the 1st Departmental Affairs Meeting, fall semester, academic year 1999-2000

Revised December 8, 2004, by the 3rd Departmental Affairs Meeting, fall semester, academic year 2004-05

Revised September 28, 2005, by the 1st Departmental Affairs Meeting, fall semester, academic year 2005-06

Revised April 12, 2006, by the 2nd Departmental Affairs Meeting, spring semester, academic year 2005-06

Revised September 27, 2006, by the 1st Departmental Affairs Meeting, fall semester, academic year 2006-07

Revised May 5, 2009, by the Departmental Affairs Meeting (correspondence vote), spring semester, academic year

Revised April 21, 2010, by the 2nd Departmental Affairs Meeting, spring semester, academic year

Revised April 20, 2011, by the 2nd Departmental Affairs Meeting, spring semester, academic year 2010-11

Revised April 23, 2012, by the correspondence survey of the 2nd Departmental Affairs Meeting, spring semester, academic year 2011-12

Revised April 17, 2018, by the correspondence survey of the 2nd Departmental Affairs Meeting, spring semester, academic year 2017-18

- I. Policies and procedures stated herein are proposed in accordance with the “Master’s and Ph.D. Degree Awarding Regulations” of National Chiao-Tung University (NCTU) to provide a study guide and maintain academic standards for the doctoral students (including both regular and part-time students, same as below) of the Department of Management Science (DMS, hereafter the Department) at NCTU.
- II. Full-time doctoral students are required to complete the degree within two to seven years while part-time students can have one additional year, i.e. within two to eight years.
- III. NCTU students who meet the admission requirements of the direct-Ph.D. program may apply to study in the direct-Ph.D. track by following DMS’s “Regulations for Direct-Ph.D. Program.” The Ph.D. Program Committee should assess students’ qualifications and submit the results to the Departmental Affairs Meeting for approval. The detailed procedures and requirements should abide by the regulations of “NCTU Policies on the Application of Master’s Students to Direct-Ph.D. Program.”
- IV. Doctoral students who study in other NCTU departments/institutes may transfer to the Ph.D. program of the DMS if they acquire the approval of their original departments/institutes and at least two recommendations from the faculty members of the DMS. The Ph.D. Program Committee shall assess students’ qualifications and submit the results to the Departmental Affairs Meeting for approval. If students are accepted, they should start the Ph.D. program of the Department in the following academic year. The year(s) of their stay in the other department/institute will not be counted toward the limit of the study period required by the Department.
- V. The research areas of DMS doctoral students include but are not limited to the following nine sectors: Organizational Theories/Behavior, Strategic Management, Marketing Management, Financial Management, Operations Management, Human Resources Management, Information Management, Technology Management, and Decision Science. Each sector may recruit students separately though cross-sector research is strongly recommended.
- VI. All doctoral students must take at least two semesters of Ph.D and have completed four pre-requisite courses namely Economics, Accounting, Statistics, and Management. Regarding the elective professional courses, students should take at least one course each from any six research areas listed above (Article V) and at least three courses on methodology and related areas, along with three courses in their major field of research. In addition to the courses aforementioned, students should also complete at least three (9 credits) Ph.D.-level professional courses. (All Ph.D.-level professional courses offered by NCTU College of Management are honored by the Department and their credits can be counted towards the Department’s requirement of “Ph.D.-level

professional courses.”) All the courses mentioned above should be successfully completed before taking the Ph.D. Degree Examination. If students have completed any aforementioned courses (except Ph.D.-level professional courses) before entering the program, they may apply to waive the courses prior to the deadline of the course add-and-drop period in the very first semester of their study but no credits will be counted towards graduation. Waivers applied after this will not be accepted.

VII. Doctoral students should get approval from the department chair, the PhD program committee, or their advisor before taking any courses.

VIII. Ph.D. Qualifying Examination is held by the Ph.D. Program Committee of the Department once a semester in early fall and spring, respectively. The examination consists of two parts. In the first part, students must pass two subject tests on the methodology and its related areas within the first two years of their study (including leave of absence) or be dismissed from school. In the second part, students must choose and be tested on one of the nine research sectors mentioned above (Article V). Doctoral students must pass their qualifying exam within the first three years of their study (including leave of absence) or be dismissed from NCTU.

IX. Thesis advisor:

1. Doctoral students may choose their dissertation advisor after passing the first part of the qualifying exam and must report to the department of the dissertation advisor whom they have chosen within six months upon passing both parts of the exam to get approval from the Executive Meeting of the Management College.
2. Only a DMS full-time faculty with assistant professorship or above can serve as a dissertation advisor. If a student is co-advised, one of the co-advisors must have full-time assistant professorship or above in the Department and the appointment must be approved by the Ph.D. Program Committee of the Department. The advisor or co-advisor who is from the Department should organize and be the convener of the Dissertation Advising and Reviewing Committee (hereafter the Dissertation Committee), which must be composed of at least three members. The Dissertation Committee is responsible for supervising and advising the student's research.
3. If a Ph.D. intends to change his/her thesis advisor during his/her studies, he/she should apply in writing to the Department and such change of advisor will become effective after notifying the former thesis advisor; also, the consent of the former thesis advisor is not required.
4. If a thesis advisor intends to terminate the advisory relationship, he/she should apply in writing to the Department in accordance with the Eligibility Regulations. The Ph.D. should be informed of the review results by the Department. After the termination of the advisory relationship, the Department may provide assistance to Ph.D. regarding advisor selection.
5. When a Ph.D. applies for the replacement of a thesis advisor in accordance with the Guidelines, the Ph.D. may not have the original ideas or concepts provided by the former thesis advisor and the research results obtained under the guidance of the former thesis advisor used for the dissertation without the consent of the former thesis advisor.
6. After a dissertation advisor is made, the student should take “Individual Study” course at least once a year unless s/he takes leave for the whole academic year, studies abroad as an exchange student, does research overseas, or is sure to graduate in that particular academic year.

The aforementioned third, fourth, and fifth policies and procedures shall be made

retrospective for students who have enrolled in our department.

- X. A DMS faculty member can only advise two new doctoral students admitted each academic year. One faculty can advise 5 doctoral students at the most (including student(s) on leave) in any academic year. However, faculty members who have published papers on the journals listed on Financial Times or UT Dallas, or with the impact factor above 1.5 during the past three years can take up to seven doctoral students at most.
- XI. Doctoral students who have studied in the program for at least two years, completed all required courses (excluding the courses waived) and received 36 credits (78 credits for Direct-Ph.D. program students, excluding the credits of pre-requisite or seminar courses) may apply for the Ph.D. candidacy upon the recommendation of the Dissertation Committee.
- XII. Doctoral students must pass the qualifying exam and have a solid research direction before applying for an oral defense for the dissertation proposal. The Ph.D. Program Committee shall administrate the oral exam and make it open to public. This oral exam committee includes the committee members of a student's Dissertation Advising and Reviewing Committee plus one or two professors recommended by the Ph.D. Program Committee in the related research area(s). Students must pass the dissertation proposal defense within the first four years of study (including leave of absence) or be dismissed from school. Upon approval by the Department, international students can take IMBA courses offered by the College of Management and receive credits equaling those of the Department.
- XIII. Doctoral students should fulfill the following requirements before applying for the Ph.D. degree examination:
 - 1. Publish their research in well-known journals under the name of the Department and NCTU (one academic paper on SSCI or SCI journals, or two papers on the journals recognized by the Ph.D. Program Committee, with the proof of a reprint or photocopy or acceptance letter of the paper.).
 - 2. Completed the Ph.D. English training course(s) offered by the Language Teaching and Research Center, NCTU or pass one of the following English proficiency test requirements: score 80 or above in TOEFL-iBT (or the equivalent in other TOEFL tests), attain a high-intermediate (or above) level in the General English Proficiency Test, or score 750 or above in TOEIC.
- XIV. Oral examination will be the primary format of the Ph.D. degree examination and the following rules shall be enforced:
 - 1. The Ph.D. Degree Examination Committee consists of five to nine members who are experts on the candidate's research fields and may or may not be NCTU faculty. They will be recommended by the Department to NCTU's President, who will then invite and appoint the members for this function. Both NCTU committees and non-NCTU committees should count for at least one third of all members in the committee. All committee members should also meet one of the following criteria:
 - a. Being a Professor now or before
 - b. An Academician or being a Researcher of Academia Sinica now or before.
 - c. Being an Associate Professor or an Associate Researcher of Academia Sinica now or before, with excellent academic performance
 - d. A Ph.D. with significant academic achievements
 - e. An expert in a rare or specialized field, with excellent academic or professional achievements. The qualifications of Items *c* to *e* listed above will be determined by the Departmental Affairs Meeting. The doctoral student's spouse and one to third degree relatives are not allowed to serve as the dissertation committees.
 - 2. The defense will be oral and public. The defense schedule, venue, and the dissertation

title shall be announced to the public in advance.

3. The student and at least five committee members must be present throughout the whole examination.
4. Apart from the student's advisor, there must be at least one full-time DMS faculty present during the dissertation defense as an exam committee. If there is no DMS faculty available, an appropriate full-time faculty of the College of Management should be invited and present.
5. The student passes the degree examination if the average scores of all committees members reach 70 or above (with 100 as the perfect score). But, if one third or more of the present committees marks "fail" for the exam, then the student fails the exam.

XV. Students who pass the Ph.D. degree examination will be awarded the degree of **Doctor of Philosophy in Management** Science of NCTU. Students' major research sector will be stated in the diploma as well. If a student has not passed the degree examination or completed the required coursework within the study-period limit, s/he shall be dismissed from NCTU.

XVI. Ph.D. dissertations (including abstracts) should be written principally in Chinese and must be prepared by following the regulations of NCTU Degree Thesis and Dissertation Format. The electronic dissertation, including the abstract, should be upload onto internet in accordance with polices of the Filing System of Electronic Thesis and Dissertations in NCTU Library within one month after passing the degree examination. In addition, three hard copies of the dissertation should be submitted – one for NCTU Library and the other two for the Office of Academic Affairs to be sent to other organizations specified by MOT. The number of copies for filing in the Department will be decided by the Department.

XVII. Items not stated herein are subject to the NCTU Master's and Ph.D. Degree Awarding Regulations and the Guidelines for the Interaction between Thesis Advisor and Graduate Students.

XVIII. The future revision of the policies and procedures will be applicable to doctoral students who are admitted to the Ph.D. program in the following academic year after the revision is approved.

XIX. These policies and procedures have been approved by the Departmental Affairs Meeting, confirmed by the Curriculum Committees of the College of Management and the NCTU, and validated by the Academic Affairs Meeting of the university. The same procedure will be applied for future revisions.