

國立陽明交通大學著作彙編之學位論文應行注意事項

National Yang Ming Chiao Tung University Rules for Thesis by Publication

112 年 5 月 30 日 111 學年度第 4 次教務會議通過

Adopted at the 4th Academic Affairs Meeting of Academic Year 2022 on May 30, 2023

113 年 1 月 4 日 112 學年度第 2 次教務會議修正通過第 2、4、5 點

Articles 2, 4 and 5 amended at the 2nd Academic Affairs Meeting of Academic Year 2023 on January 4, 2024

114 年 3 月 18 日 113 學年度第 3 次教務會議修正通過第 1、2、4 點

Articles 1, 2 and 4 amended at the 3rd Academic Affairs Meeting of Academic Year 2024 on March 18, 2025

- 一、國立陽明交通大學（以下簡稱本校）基於學術研究自由，為促進學生學位論文之系統性、延續性、深度與廣度，並建立學術識別度，論文得以著作彙編形式為之，以下稱「著作彙編之學位論文」（Thesis by Publication, TBP），特訂定本注意事項。
 1. To guarantee the freedom of academic research, promote the systematization, continuity, depth and breadth of the candidate's dissertation, and establish academic recognition, National Yang Ming Chiao Tung University, (hereinafter referred to as "NYCU") has laid down these rules for theses in the form of a series of publications, hereinafter referred to as "thesis by publication, or TBP".
- 二、著作彙編之學位論文，係指學生於學位論文考試前，將在校期間已公開發表或已接受刊登在期刊、研討會之學術論文、專書、專書篇章或專利（以下合稱著作）等，以部分或全部根據研究主軸彙編成為其學位論文。
 2. A Thesis by Publication refers to the situation where students, prior to the thesis examination, compile, either partially or entirely, their academic works published or accepted for publication in journals, conferences papers, academic books, book chapters, or patents (hereinafter collectively referred to as "works") during their enrollment at the University, based on a coherent research theme, to form their thesis.
- 三、著作彙編之學位論文獲得學位之採認準則，如學術著作收錄篇數、收錄年限、期刊或研討會等級、收錄內容應具備篇幅、該學生作為作者之排序及專利權歸屬比例等，得由各學院（系、所）自行訂定之。
 3. The criteria for accepting a TBP before a degree is conferred — for example, the number of included academic works, publication year, journal or conference level, length of the work, the order of the student's authorship, and the proportion of patent rights — shall be determined by each college (department or institute).
- 四、學生學位論文均應先與其指導教授討論及取得共識，並填寫附表一「國立陽明交通大學學位論文發表形式確認書」。

學生學位論文若包含著作彙編，須於學位論文考試前填寫附表二「國立陽明交通大學著作彙編之學位論文資訊及彙編學術著作之共同作者貢獻聲明書」，且應於論文適當處詳實揭露彙編著作資訊，交予學位考試委員評審。學生學位論文若包含已投稿但尚未被接受之著作，應填寫附表三「國立陽明交通大學學位論文使用投稿中學術著作聲明書」。若於離校手續完成前，取得著作接受通知，可調整為著作彙編之學位論文。

本點需填寫之附表應納入學位論文中，並上傳至本校博碩士論文系統。

4. Students must first discuss and reach a consensus with their advisor on the format of their thesis and complete Attachment 1 “National Yang Ming Chiao Tung University Thesis Format Form”.

If the student’s thesis includes a TBP, they must fill out Attachment 2 “National Yang Ming Chiao Tung University Information and Co-author Contribution Statement of Thesis by Publication.” The student must also disclose detailed information of the included works in the appropriate sections of the thesis for the degree examination committee’s review.

If the student’s thesis includes works that have been submitted but not yet accepted for publication, they must fill out Attachment 3, “National Yang Ming Chiao Tung University Declaration for Use of Submitted Academic Works in Thesis”. If the student receives an acceptance notice for the work before completing the graduation process, the thesis may be adjusted to Thesis by Publication.

All required attachments mentioned above must be included in the thesis and uploaded to the University’s Electronic Theses and Dissertations System.

- 五、著作彙編之學位論文，應依「本校研究生學位授予作業規章」規定，於學位考試舉行前完成論文原創性比對報告，並告知考試委員，俾利委員判斷比對結果之影響。

學位考試結束後，如有修改論文內容者，應將定稿版之論文內容，再次完成論文原創性比對報告，並送指導教授確認。

通過學位考試之學生，應依「本校研究生學位授予作業規章」規定，填具「學位論文學術倫理暨原創性比對聲明書」，連同學位論文原創性比對報告電子檔，上傳至本校博碩士論文系統。

5. In accordance with the University’s Regulations for Conferral of Graduate Degrees, students must complete a report of academic originality comparison for the TBP before the thesis examination and notify the examination committee for their reference and assessment.

If the thesis content is revised after the examination, the student must complete

another originality comparison report for the final version and submit it to the advisor for confirmation.

Students who pass the degree examination must fill out the Statement of Academic Ethics and Originality Comparison and upload it together with the electronic file of the originality comparison report to the University's Electronic Theses and Dissertations System.

- 六、論文考試舉行時，學生應熟稔著作彙編之學位論文的全部內容，並進行報告；不得以部分內容非屬己身執行或負責為由，規避回應。
6. During the thesis examination, the student must be thoroughly familiar with the entire content of the TBP and provide a complete oral presentation. The student may not avoid questions on the grounds that they did not execute or were not responsible for certain parts.
- 七、學位考試委員對著作彙編之學位論文，應審定該學生於彙集之學術著作中是否具備相當程度之貢獻、創新性與獨立研究能力，並符合本校及學術領域普遍接受之水準。
7. The degree examination committee shall evaluate whether the student has made a substantial contribution, demonstrated innovation, and shown independent research capability in the included works, and whether the TBP meets the standards accepted by the University and the academic community.
- 八、本注意事項經教務會議通過後實施，修正時亦同。
8. These rules and any subsequent amendments shall take effect upon approval by the Academic Affairs Meeting.

附表一

國立陽明交通大學學位論文發表形式確認書

本人_____依據「國立陽明交通大學著作彙編之學位論文應行注意事項」第四點第一項規定，於____年____月____日與指導教授討論並取得論文發表形式之共識，本人學位論文為：

| |
|---|
| 第一部分：是否採用著作彙編之學位論文 |
| <input type="checkbox"/> 是，採用著作彙編形式：本人學位論文包含已公開發表或已接受刊登之著作，遵守學校訂定著作彙編學位論文應行注意事項與獲得學位採認準則，並覈實填寫「著作彙編之學位論文資訊及彙編學術著作之共同作者貢獻聲明書」。 |
| <input type="checkbox"/> 否，不採用著作彙編形式：本人學位論文考試前，學位論文任何部份均未公開發表或被接受。 |
| 第二部分：學位論文部份或全部包含在投稿中 |
| <input type="checkbox"/> 本人於學位論文考試前，學位論文有部份或全部進行投稿，尚未取得接受通知，並覈實填寫「國立陽明交通大學學位論文使用投稿中學術著作聲明書」。 |

本人簽名：

學 號：

指導教授簽名：

共同指導教授簽名(無則免)：

系所單位戳章：

中 華 民 國

年

月

日

Attached Form 1

National Yang Ming Chiao Tung University

Thesis Format Form

I, _____, have discussed with my advisor on (YYYY/MM/DD) in accordance with Article 4, Paragraph 1 of the "National Yang Ming Chiao Tung University Rules for Thesis by Publication" and have reached a consensus on the format of my thesis. My thesis is as follows:

| |
|---|
| Part I: Is the thesis a Thesis by Publication? |
| <input type="checkbox"/> Yes, it adopts the TBP format. My thesis includes works already published or accepted for publication. I comply with the university's TBP guidelines and have truthfully completed the "Information and Co-author Contribution Statement." ° |
| <input type="checkbox"/> No, it does not adopt the TBP format. No part of my thesis has been published or accepted before the examination. |
| Part II: Does your thesis include works currently under submission? |
| <input type="checkbox"/> Part or all of my thesis has been submitted for publication but has not yet been accepted. I have completed the "Declaration for Use of Submitted Academic Works in Thesis." |

My signature:

My student ID:

The advisor's signature:

The co-advising professor's signature (exempt if none):

Seal of the department (degree program):

Date: (mm-dd-yyyy).

附表二

國立陽明交通大學

著作彙編之學位論文資訊及彙編學術著作之共同作者貢獻聲明書

基於學術研究誠信，「著作彙編之學位論文」學生（以下稱聲明人）茲聲明彙編學術著作之相關資訊及共同作者貢獻度。

一、聲明人相關資訊

| |
|------------------------------|
| (一) 學生姓名： |
| (二) 就讀系所： |
| (三) 學位論文名稱： (請自行填入學位論文標題) |

二、彙編著作之相關資訊

| 各篇彙編著作之資訊 ^{註一} | | | | | | |
|--------------------------|--|--------------|---------------------|-------------------------|------------------|----|
| 彙編著作於學位論文之章節 | | | | | | |
| 類型：期刊或研討會之學術論文 | | | | | | |
| 期刊或研討會名稱 | (請自行填入名稱) | | | | | |
| 論文標題 | (請自行填入標題) | | | | | |
| 出版或發表情況 | <input type="checkbox"/> 已刊登或發表： 年 月 日。 連結網址： https://doi.org/xxxxxxxxxxxxx <input type="checkbox"/> 已接受刊登或發表（請附上接受證明）： 年 月 日。 | | | | | |
| 「著作彙編之學位論文」聲明人就此著作之貢獻度聲明 | | | | | | |
| 貢獻說明 (得加註貢獻度百分比) | | | | | | |
| 聲明人於著作中之作者排序 (如為通訊作者請標明) | | | | | | |
| 除聲明人以外之其他共同作者相關訊息及分工事項 | | | | | | |
| 作者排序 (請標明通訊作者) | 姓名 | 著作中登載作者所屬之單位 | 分工事項 (得加註貢獻度百分比) | 是否曾納入下述共同作者的學位論文或教師送審著作 | 簽名 ^{註二} | 日期 |
| 第一作者 | | | | | | |

| | | | | | | |
|--|---|--------------|---------------------|--------------------------------------|------------------|----|
| 第二作者 | | | | | | |
| 第三作者 | | | | | | |
| 類型：專利 | | | | | | |
| 專利類型 | <input type="checkbox"/> 發明專利 <input type="checkbox"/> 新型專利 <input type="checkbox"/> 設計專利 | | | | | |
| 專利名稱 | | | | | | |
| 創作人 | | | | | | |
| 專利權人 | | | | | | |
| 專利期間 | | | | | | |
| 聲明人貢獻說明 (得加註貢獻度百分比) | | | | | | |
| 聲明人於專利中之排序 (若有排序請說明) | | | | | | |
| 專利權人 (若有排序請標記) | 姓名 | 專利權人登載之所屬單位 | 分工事項 (得加註貢獻度百分比) | 是否曾納入下述 共同專利人的學位 論文或教師送審 著作 | 簽名 ^{註二} | 日期 |
| | | | | | | |
| | | | | | | |
| 類型：專書(專書篇章) | | | | | | |
| 專書名稱 | | | | | | |
| 出版社 | | | | | | |
| 出版日期 | | | | | | |
| 「 <u>著作彙編之學位論文</u> 」 <u>聲明人</u> 就此專書(專書篇章)之貢獻度聲明 | | | | | | |
| 貢獻說明(得加註貢獻度百分比) | | | | | | |
| 聲明人於著作中之作者排序 (如為通訊作者請標明) | | | | | | |
| 除聲明人以外之其他共同作者相關訊息及分工事項 | | | | | | |
| 作者 (若有排序請標記) | 姓名 | 著作中登載作者所屬之單位 | 分工事項 (得加註貢獻度百分比) | 是否曾納入下述 共同作者的學位 論文或教師送審 著作 | 簽名 ^{註二} | 日期 |
| | | | | | | |

| | | | | | | |
|--|-----------|----------------------|---------------------|-------------------------|------------------|----|
| | | | | | | |
| 類型：其他 (如作品集、輔助文件...) | | | | | | |
| 名稱/類型 | (請自行填入名稱) | | | | | |
| 聲明人就此文件之貢獻度聲明與說明 | | | | | | |
| 文件說明 | | | | | | |
| 聲明人貢獻說明 (若有排序也請說明) | | | | | | |
| 除聲明人以外之其他共同作者相關訊息及分工事項 | | | | | | |
| 作者排序 (請標明通訊作者) | 姓名 | 著作中登載 作者所屬之 單位 | 分工事項 (得加註貢獻度百分比) | 是否曾納入下述共同作者的學位論文或教師送審著作 | 簽名 ^{註二} | 日期 |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| 備註： 一、若聲明人的「著作彙編之學位論文」是由一篇以上著作彙編而成，請依「類型」自行增列表格填寫，並詳實登錄「論文章節」與「各篇彙編著作之資訊」等欄位。 二、本聲明書得中文與英文版本擇一簽署，亦可多份簽署集結，但務求正確與完備。 三、若作者數為5人（含）以上，除聲明人、第一作者、通訊作者需完整登載各欄位、確認並簽名外，其餘共同作者可彙整填報，列出這些作者之所有姓名、統整說明分工事項，再由第一作者與通訊作者共同簽署、確認。因故無法取得共同作者之簽名，請於簽名欄位釋明之。 | | | | | | |

以上聲明均為屬實，如有不實，聲明人願負相關法律與學術倫理責任。

聲明人簽名：

指導教授簽名：

共同指導教授簽名（無則免）：

系所單位戳章：

中 華 民 國

年

月

日

Attached Form 2

National Yang Ming Chiao Tung University Information and Co-author Contribution Statement of Thesis by Publication

To maintain academic and research integrity, the candidate of TBP (hereinafter referred to as the declarant) hereby declares the relevant information of the TBP and the contribution of co-authors.

1、The Declarant's Profile

| |
|--|
| (1) Name: |
| (2) Department/Program: |
| (3) The thesis title : (Fill in here) |

2、The Relevant Information of My TBP

| The Information of Each Publication <small>note 1</small> | |
|---|--|
| In which chapters of the thesis is the publication included | |
| Type: Academic Thesis in Journals or Conferences | |
| Journal or Conference Name | (Please fill in the name of the journal or conference) |
| Thesis Title | (Please fill in the title of the thesis) |
| Publication or Presentation Status | <input type="checkbox"/> Published or Presented: YYYY MM DD. Link: https://doi.org/xxxxxxxxxxxxxxxx <input type="checkbox"/> Accepted for Publication or Presentation (Please attach acceptance proof): YYYY MM DD. |
| Declaration of Contribution by the Declarant to this Work Compilation | |
| Contribution Explanation (Contribution percentage may be added) | |
| The declarant's ranking in the publication (if the declarant is the | |

| corresponding author, please note) | | | | | | |
|--|--|---|---|--|------------------------------------|------|
| Relevant Information and Responsibilities of Co-Authors except the Declarant | | | | | | |
| Author Order (Please specify corresponding author) | Name | Affiliation of the author as listed in the work | Division of labor (the percentage of contribution must be indicated) | Has this paper been included in the dissertation or faculty promotion work by the following co-authors | Signature <small>note 2</small> | Date |
| 1 st Author | | | | | | |
| 2 nd Author | | | | | | |
| 3 rd Author | | | | | | |
| Type: Patent | | | | | | |
| Patent Type | <input type="checkbox"/> Invention Patent <input type="checkbox"/> Utility Model Patent <input type="checkbox"/> Design Patent | | | | | |
| Patent Title | | | | | | |
| Inventors | | | | | | |
| Patent Holder | | | | | | |
| Patent Period | | | | | | |
| Contribution Explanation of the Declarant (the percentage of contribution must be indicated) | | | | | | |
| The declarant's ranking in the publication (if there is any sorting, please note) | | | | | | |
| Patentee (Please mark if there is any sorting) | Name | The unit to which the patentee belongs | Division of labor (the percentage of contribution must be indicated) | Has this paper been included in the dissertation or faculty promotion work by the following co-authors | Signature <small>note 2</small> | Date |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| Type: Academic Book (Book Chapter) | | | | | | |
| Book Title | | | | | | |
| Publisher | | | | | | |
| Publication | | | | | | |

| | | | | | | |
|--|------|--|--|--|-----------------------------|---|
| Date | | | | | | |
| Declaration of Contribution by the Declarant to this Book (Book Chapter) | | | | | | |
| Contribution Explanation of the Declarant (the percentage of contribution must be indicated) | | | | | | |
| The declarant's ranking in the publication (if the declarant is the corresponding author, please note) | | | | | | |
| Co-authors' info and division of labor except the Declarant | | | | | | |
| Co-author(please note if ranked) | Name | Division of labor (the percentage of contribution must be indicated) | Has this paper been included in the dissertation or faculty promotion work by the following co-authors | Signature ^{note 2} | Date | The unit to which the co-author belongs |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| Type: Others (Portfolio, supporting documents) | | | | | | |
| Name/Type | | | | | | |
| Declaration of Contribution by the Declarant to this Document | | | | | | |
| Document description | | | | | | |
| Contribution Explanation of the Declarant (if there is any sorting, please note) | | | | | | |
| Co-authors' info and division of labor except the Declarant | | | | | | |
| Co-author(please note the corresponding author) | Name | The unit to which the co-author belongs | Division of labor (the percentage of contribution must be indicated) | Has this paper been included in the dissertation or faculty promotion work by the following co-authors | Signature ^{note 2} | Date |
| | | | | | | |
| | | | | | | |
| | | | | | | |

Notes:

1. If the TBP of the declarant includes more than one publication, please add forms according to types and fill in the details of the fields below 'Thesis Body Section' and 'The Information of Each Publication'
2. This statement may be signed in either the Mandarin or English version. Multiple copies may be signed, but accuracy and completeness must be achieved.
3. If there are 5 or more authors, except for the declarant, the first author and the corresponding author who need to complete each column, confirm and sign, the remaining co-authors can be filled in a summary, list all the names of these authors, and summarize the division of labor, and then jointly sign and confirmed by the first author and the corresponding author. If the signature of the co-author cannot be obtained for some reason, please explain it in the signature field.

All statements above are true. If there is any falsehood, the declarant is willing to bear the relevant legal and academic ethical responsibilities.

The declarant's signature:

The advisor's signature:

The co-advising professor's signature (exempt if none):

Seal of the department:

Date: (mm-dd-yyyy).

附表三

國立陽明交通大學學位論文使用投稿中學術著作聲明書

基於學術研究誠信，學生（以下稱聲明人）茲聲明投稿中著作（含學術論文、專書、專書篇章或專利等）相關資訊與貢獻度。

聲明人相關資訊

| |
|-----------------------------|
| （一）學生姓名： |
| （二）就讀系所： |
| （三）學位論文名稱： （請自行填入學位論文標題） |

投稿中著作之相關資訊

| | |
|--|--|
| 投稿類型： <input type="checkbox"/> 期刊或研討會之學術論文 <input type="checkbox"/> 專利 <input type="checkbox"/> 專書(專書篇章) <input type="checkbox"/> 其他(請說明：) | |
| 投稿篇名 | (請自行填入名稱) |
| 投稿狀況 | 投稿日： 年 月 日。 投稿進度： <input type="checkbox"/> 審查中 <input type="checkbox"/> 修改中 <input type="checkbox"/> 其他：(請說明：) |
| 使用投稿內容之學位論文章節 | |
| 聲明人就投稿著作之貢獻說明(得加註貢獻度百分比) | |
| 除聲明人以外之其他共同作者分工事項(得加註貢獻度百分比) | |
| 備註： 一、 若聲明人投稿中已投稿但尚未被接受之著作有多篇，請依不同「類型」自行增列表格填寫。 二、 本聲明書得中文與英文版本擇一簽署。 三、 若於離校手續完成前，取得著作接受通知，可調整此聲明書為著作彙編之學位論文。 | |

以上聲明均為屬實，如有不實，聲明人願意負相關法律與學術倫理責任。

聲明人簽名：

指導教授簽名：

共同指導教授簽名（無則免）：

系所單位戳章：

中 華 民 國 年 月 日

Attached Form 3

National Yang Ming Chiao Tung University Declaration for Use of Submitted Academic Works in Thesis

To uphold academic integrity, the student (hereinafter referred to as the declarant) hereby declares the relevant information and contribution of academic works under submission (including academic papers, books, book chapters, or patents).

Declarant's Information

| |
|--|
| (1) Name of Student: |
| (2) Department/Program: |
| (3) Thesis Title: (Please fill in the title of your thesis) |

Information of Academic Works Under Submission

| | |
|---|--|
| Type of Submission: <input type="checkbox"/> Academic paper (journal or conference) <input type="checkbox"/> Patent <input type="checkbox"/> Book (or chapter) <input type="checkbox"/> Other (please specify): | |
| Title of Submitted Work | (Please fill in the title) |
| Submission Status | Submission Date: YYYY/MM/DD Submission Progress: <input type="checkbox"/> Under Review <input type="checkbox"/> Under Revision <input type="checkbox"/> Other (please specify): |
| Thesis Chapter(s) Using the Submitted Work | |
| Contribution Statement by the Declarant for the Submitted Work (the percentage of contribution must be indicated) | |
| Division of Labor Among Other Co-authors (if any)(the percentage of contribution must be indicated) | |

Note:

1. If more than one submitted work is used, please add extra tables by type and fill out each accordingly.
2. This declaration may be signed in either the Mandarin or English version.
3. If the work is accepted before graduation, this form may be replaced with the “Thesis by Publication” declaration.

All statements above are true. If there is any falsehood, the declarant is willing to bear the relevant legal and academic ethical responsibilities.

Declarant’s Signature:

Advisor’s Signature:

Co-advisor’s Signature (if any):

Department Seal:

Date: YYYY/MM/DD