

# Degree Application Guide

(Second Stage of the Doctoral Program)

Version for Academic Year 2016

University of Tsukuba  
Graduate School of Library, Information and Media Studies

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**Doctoral Degree Application Guide**  
**(Second stage of the Doctoral Program)**

## Degree Application Guide (Second Stage of the Doctoral Program)

Before starting preparation for application to Doctoral Dissertation Reviews (the review includes the final examination, hereinafter referred as the “Doctoral Dissertation Review”), please read the information below and be sure to follow the instructions.

### 1. Doctor’s degree (Doctoral degree obtained after completing a course of study)

#### *(1) Doctoral Dissertation Requirements (Diploma policy)*

A doctoral degree is an academic degree bestowed on an individual who is qualified as a researcher and who is able to conduct independent research. The Graduate School of Library Information and Media Studies obligates students to submit a dissertation written by him/her alone, in either English or Japanese, in which new knowledge obtained by means of appropriate research methods is clearly described. A doctoral dissertation must therefore be a compilation based on two or more peer-reviewed papers published in academic journals.

#### *(2) Prerequisites for applying for a doctoral dissertation review*

- i)* Students who have completed an interim presentation three months prior to a preliminary review.
- ii)* Students who have been enrolled in the second stage of the doctoral program for three years or longer up to the point of degree conferment.
- iii)* Students who have acquired ten or more credits during the second stage of the doctoral program up to the point of degree conferment.

#### **Students who enrolled in AY2014 or earlier**

- Must have enrolled in two lecture courses (four credits): One course must be from the education and research field which he/she belongs.
- Advanced Experiments in Information and Media A (compulsory course): A course held by your academic advisor must be taken.
- Advanced Experiments in Information and Media B (compulsory course): You must take a course held by your academic advisor. However, you are not allowed to take A and B seminars given during the same time period and semester.
- Special Experiments in Information Media I (compulsory course): You must take a course held by your secondary academic advisor.
- Special experiments in Information Media II (compulsory course): You must take a course held by another secondary academic advisor.

#### **Students who enrolled in AY2015 or later**

- Must have enrolled in two lecture courses (four credits): Courses with codes starting with 02MA1, 02MA3, 02MA5, or 02MA7
- Must have enrolled in six seminar courses (compulsory courses) (six credits):

- Advanced Seminar in Information Media Studies Ia (Academic Advisor (Main))
- Advanced Seminar in Information Media Studies Ib (Academic Advisor (Main))
- Advanced Seminar in Information Media Studies IIa (Academic Advisor (secondary) a)
- Advanced Seminar in Information Media Studies IIb (Academic Advisor (secondary) b)
- Advanced Seminar in Information Media Studies IIIa (Academic Advisor (Main))
- Advanced Seminar in Information Media Studies IIIb (Academic Advisor (Main))

*iv)* Students who have passed the preliminary review

*v)* Students who remain enrolled in the second stage of the doctoral program until the day of degree conferment.

#### A) Prerequisites for interim presentation

Students who are enrolled in the graduate school for one year or longer must give a presentation on the progress of their doctoral dissertation. In principle, their presentation must be given on the first Wednesday of June, October or February. Students select the date that suits their progress of preparation. Sixty minutes will be given. The students should present their purpose and methods of study and their status of progress with their study. A Q&A session is also included in the sixty minutes.

#### B) Early completion requirements for students who attend less than three years

Individuals who demonstrate outstanding research performance can complete the second stage of the Doctoral program by attending the program in one year or longer. (Students who have completed their Master's program during the period of attendance under paragraph 3 of Article 3 or the proviso of paragraph 1 of Article 3 of the standard for the establishment of graduate schools, and those who have completed a professional degree program in the standard period of attendance (between one and two years) can complete the program in three years, including the period of attendance in the aforementioned programs. Candidates who wish to take advantage of this privilege should read "2. Doctoral degree (Early Completion)" on page 7.

### ***(3) Application prerequisites for preliminary review***

Only candidates who fulfill all the following requirements are eligible to apply for a preliminary review.

- i. Two or more papers, which provide cores to the dissertation, must have been published or accepted for publication by a peer-reviewed academic journal or accepted as peer-reviewed Proceedings papers by the end of the preliminary

review (Papers that comprise the core of a doctoral dissertation must be peer-reviewed, i.e., equivalent to a full paper, written by the applicant as the sole or main author)

- ii. Must have conducted an interim presentation more than three months previously

\*One of the core papers should have been submitted and accepted while attending the second stage of the doctoral program. The candidate can apply for a preliminary review if one of the two submitted papers is still under review, and the other has already been published, the student can apply for a preliminary review. However if the paper in question is not accepted for publication by the end of the review, he/she be considered to have failed the preliminary review.

\*If one of the core papers has already been published, a peer-reviewed Proceedings paper can be acknowledged as the other core paper.

\*Even if it is published in an academic journal, if the journal is a sole organizational one, such as IBM Journal, etc., the paper will not be recognized as “a peer-reviewed academic journal article.”

\*Commentaries cannot be included in the core papers, even if they have been published in an academic journal.

\*Papers that comprise the core of a doctoral dissertation must be written in either English or Japanese.

#### ***(4) Preliminary Review***

A preliminary review is an occasion at which five instructors, including the main and secondary academic advisors, examine the preliminary draft and decide if it meets the requirements of a doctoral dissertation. This comes before the authentic review. Applicants must modify their drafts based on the points discussed in the preliminary review. When such modifications are applied and considered to have raised the standard of the paper to that required for a doctoral dissertation, the paper will be regarded as having passed the preliminary review. The preliminary review will be terminated in case that the applicant leaves the program. A successful candidate has to apply for an authentic dissertation review as soon as the judgment is made.

\* Unless a candidate applies for an authentic dissertation review within three months from the day he/she passes, he/she will have to undergo the preliminary review again.

\* In case that the Steering Committee once approved the preliminary review as the “pass” while the student was enrolled in the second stage of the doctoral program and he/she left the program after the approval, if he/she applies for an authentic dissertation review within three months from the day he/she passed, it can be considered as a preliminary review of a ‘Doctoral Degree by Way of Dissertation’ upon the approval by the Steering Committee.

Individuals who wish to undergo a preliminary review must submit the following documents to the Provost of the Graduate School of Library, Information and Media Studies (hereinafter referred to as the “Provost”) on a day prescheduled every month.

\* Submission point: Graduate Academic Affairs Section,  
Academic Services Office for Library Information Science

- ① Preliminary review application (form code: 別記様式—後予 1): One copy
- ② Preliminary draft for doctoral degree application: Five copies
- ③ Abstract of preliminary draft for doctoral degree [Japanese]  
(form code: 別記様式—後予 3) or  
Abstract of preliminary draft for Doctoral Degree [English]  
(form code: 別記様式-後予 4): One copy
- ④ Author bibliography for preliminary draft (form code: 別記様式—後予 5): One copy
- ⑤ Offprints or copies of papers that forms a core of the dissertation: Five copies of each
- ⑥ Curriculum vitae (form code: 別記様式—後予 6): One copy
- ⑦ Letter of consent (form code: 別記様式—後予 7): One copy of each
- ⑧ Other reference materials for preliminary review (if any): One copy of each

\*The “Author bibliography for preliminary draft ” is a list of self-authored papers that meet the following conditions ① to ④. Rules for creating an author bibliography are detailed in I-3 (P16).

- ① Papers published or accepted for publication by an academic journal with a peer-review system
- ② Papers published or accepted for publication at the Proceedings of an international conference that has a peer-review system
- ③ Authored book
- ④ Others

\* Documents must be attached to the above application form for the preliminary review, which certify that core papers have been peer-reviewed. If any of the papers has not yet been published, such paper can be approved as “published” by attachment of a letter certifying that the paper has been accepted for publication.

***(5) How the preliminary review is conducted***

- ① A Dissertation Preliminary Review Committee, which will be formed for each applicant, reviews the preliminary draft. After the review, the committee makes their judgment within one year.
- ② The person applying for a preliminary review must make a presentation of the key points of the preliminary draft.
- ③ The Dissertation Preliminary Review Committee will examine the following points and describe their findings in a preliminary review report.
  - A) The peer review system of the papers that form the core of the preliminary draft
  - B) Contents of letters of consent

- C) Possibility of Replacing core paper with another peer-reviewed paper
- D) Possibility of title change

### ***(6) Applying for Doctoral Dissertation Review***

The authors of preliminarily reviewed and successfully passed preliminary drafts can apply for a dissertation review. Those who wish to take a doctoral dissertation review must submit following documents and apply to the Provost on the day prescheduled every month.

\* Submission point: Graduate Academic Affairs Section,  
Academic Services Office for Library Information Science

- ① Dissertation review application (form code: 別記様式-後 1): One copy
- ② Doctoral Dissertation: Five copies
- ③ Abstract of dissertation [Japanese] (form code: 別記様式-後 2): One copy
- ④ Abstract of dissertation [English](form code: 別記様式-後 3): One copy
- ⑤ Catalog (form code: 別記様式-後 4): One copy
- ⑥ Offprints or copies of papers that form the core of the dissertation: Two copies of each
- ⑦ Petition on Internet publication (form code: 別記様式-後 1 0): One copy

### ***(7) How a dissertation review is conducted***

A group of five or six instructors consisting of one or more experts from external organizations (e.g., faculty at other graduate schools at the University, faculty at graduate schools of other Universities or research institutes) and the candidate's main and secondary academic advisors will examine whether the work meets the requirements of a doctoral dissertation. Dissertation review is an occasion at which pass or failure of the doctoral dissertation will be judged in the short term, provided that a preliminary review panel has duly examined the draft. Therefore no "modification required" or "conditional pass" will be allowed. If major revisions are necessary, the doctoral dissertation must be judged as a "fail."

- ① A Doctoral Dissertation Review Committee, formed for each dissertation, reviews the dissertation.
- ② The final presentation must be made open to the public. It lasts for about 60 minutes, including Q&A.
- ③ A public announcement of the final presentation must be made ten days prior to the final presentation.
- ④ The final examination will be conducted after the final presentation. The examination consists of questions to the author about their doctoral dissertation and related fields, either orally or in writing. The examination is not open to the public and lasts 60 minutes or longer.

### ***(8) Conferment of Degree***

A Doctoral degree is conferred on those who have passed the doctoral dissertation review.

The official date of conferment is the last day of the month that the Steering Committee approves the “pass.” (However, a decision as to conferment in March must be made by the Steering Committee in February, which will be the final judgment of degree conferment.) If other items, including period of attendance, acquired credits, etc., do not satisfy the conditions, conferment will be withheld.

One CD for Internet publication, which contains the dissertation for the permanent archives, must be submitted by the day of conferment. If no CD is submitted, the conferment will be withheld.

***(9) Publication of doctoral dissertation***

Candidates who have received a doctoral degree must publish the full text of their dissertation on the Internet within one year of the day of conferment. If this is not possible, due to plans to publish the dissertation as a book, patent application, etc., the applicant should submit their petition to the Steering Committee. The Committee will make a decision on Internet publication and will issue a Letter of Approval if approved. However, regardless of whether or not it is possible to publish the dissertation openly on the Internet, the CD for the permanent archives must be submitted by the day of degree conferment.

If the Steering Committee agrees the reason to be compelling, students will be able to submit a summary instead of the full text for Internet publication.

And, when the reason to be compelling is solved, contact the Graduate Academic Affairs Section, the Academic Services Office for Library Information Science immediately. The full text of his/her dissertation will be published on the Internet.

***(10) Precautions***

If any wrongdoing is uncovered, such as incorrect information having been submitted in the application, or the use of plagiarized data in a dissertation, the process of review will be halted. If wrongdoing is discovered after conferment of the degree, any degree obtained in such manner will be rescinded. Any type of misconduct will be subject to severe disciplinary action.

\*The dissertation and abstract of the doctoral dissertation must be prepared in conformance with the rules stipulated on Page 19 of the Doctoral Dissertation Guidelines.

## Guide for Early Completion

Students who demonstrate outstanding research performance can complete the second stage of their Doctoral program by attending the program in one year or longer. (Students who have completed their Master's program in the period of attendance under paragraph 3 of Article 3 or the proviso to paragraph 1 of Article 16 of the standard for the establishment of graduate schools, and those who have completed a professional degree program under paragraph 2 of Article 2 or paragraph 1 of Article 3 of the standard period of attendance in the space of between one and two years can complete the program in three years, including the period of attendance in the aforementioned programs).

Application for early completion should be made by September of the third year of attendance. Approval of the application will be made by December of the same year. If no judgment can be made until the specified date, the candidate must follow the normal completion process.

### 2. Doctoral degree (Early completion)

#### *(1) Dissertation Requirements (Diploma policy)*

A doctoral degree is an academic degree bestowed on an individual who is qualified as a researcher and who is able to conduct independent research. The Graduate School of Library Information and Media Studies requires students to submit a dissertation, written by him or her in either English or Japanese, in which new knowledge obtained by means of appropriate research methods is clearly described. A doctoral dissertation must therefore be a compilation based on two or more peer-reviewed papers published in academic journals.

#### *(2) Enrollment in lecture courses*

Without taking account of which year he/she has enrolled in, a candidate for early completion can take any lecture course that fulfills the requirements. However, a request must be made in advance, if applying for the early completion procedure, to the academic advisor and Chair of the Doctoral Programs of Library, Information and Media Studies for taking courses in such a manner.

Those who wish to advance to the process for an early completion will need to have obtained ten or more credits from the second stage of the doctoral program at the time of degree conferment.

#### **Students who enrolled in AY2014 or earlier**

- Must have enrolled in two lecture courses (four credits): One course must be from the education and research field which he/she belongs.
- Advanced Experiments in Information and Media A (compulsory course): You must take a course held by your academic advisor.
- Advanced Experiments in Information and Media B (compulsory course): You



must take a course held by your academic advisor. However, you are not allowed to take A and B seminars given during the same time period and semester.

- Special Experiments in Information Media I (compulsory course): You must take a course held by your secondary academic advisor.
- Special experiments in Information Media II (compulsory course): You must take a course held by another secondary academic advisor.

#### **Students who enrolled in AY2015 or later**

- Enrolled in two lecture courses (compulsory credits): courses of codes starting with 02MA1, 02MA3, 02MA5, 02MA7
- Six seminar courses (compulsory courses) (six credits):
  - Advanced Seminar in Information Media Studies Ia (Academic Advisor (Main))
  - Advanced Seminar in Information Media Studies Ib (Academic Advisor (Main))
  - Advanced Seminar in Information Media Studies IIa (Academic Advisor (secondary) a)
  - Advanced Seminar in Information Media Studies IIb (Academic Advisor (secondary) b)
  - Advanced Seminar in Information Media Studies IIIa (Academic Advisor (Main))
  - Advanced Seminar in Information Media Studies IIIb (Academic Advisor (Main))

#### ***(3) Prerequisites for applying for a doctoral dissertation review***

- i)* You must have completed an interim presentation.
- ii)* You must have passed the preliminary review.

#### ***(4) Prerequisites for interim presentation***

Students who have enrolled in the graduate school for six months or longer must give a presentation on the progress of their dissertation preparation. In principle, it must be given on the first Wednesday in October, February or June. Students can select the date that fits their status of preparation. Sixty minutes will be given. The student will give their presentation on their purpose and methods of study and progress status of study. A Q&A session is included.

\*To qualify to give an interim presentation before one year has elapsed after enrollment in the program, at least one of the core papers for the doctoral dissertation must have been published or accepted for publication by an academic journal after peer review. See *(5) Prerequisites for preliminary review* concerning the core papers.

#### ***(5) Prerequisites for preliminary review***

Only candidates who fulfill all the following are eligible to apply for the preliminary

review.

- i. Two or more papers, which provide the core of the doctoral dissertation, have been published or accepted for publication in an academic journal after being peer reviewed. (Papers that consist of a core of the doctoral dissertation must be a peer-reviewed paper equivalent to a full paper, written by the applicant as sole or main author.)
- ii. Have conducted an interim presentation more than three months before.
  - \* Of the key papers, one or more papers must be the one, which was submitted while the student was enrolled in the second stage of the doctoral program.
  - \* For early completion, publications of more than two academic journal papers are vital; however, a set of one academic journal paper and two peer-reviewed papers published at international conferences is also acceptable.
  - \* Even if it is published in an academic journal, if the journal is a sole organizational one, like IBM Journal, etc., the paper will not be recognized as a peer-reviewed academic journal paper.
  - \* Commentaries must not be included in a core paper, even if it has been published in an academic journal.
  - \* Papers that comprise the core of the doctoral dissertation must be written in English or Japanese.

#### ***(6) Preliminary Review***

A preliminary review is an occasion at which five instructors, including main and secondary academic advisors, examine the paper and judge if meets the requirements of a doctoral dissertation, prior to authentic review. Applicants should modify their dissertation to eliminate the problems pointed out during the preliminary review. When such modifications raise the standard necessary to qualify it as doctoral dissertation, the paper will be considered to have passed the preliminary review. The preliminary review will be terminated in case that the applicant leaves the program. A successful candidate has to apply for an authentic dissertation review as soon as the judgment is made. Candidates who pass the preliminary review must apply for a doctoral dissertation review without delay.

- \* If the candidate does not apply for a full review within three months from the day of eligibility approval, he/she will have to undergo the preliminary review again.

Individuals who wish to undergo a preliminary review of their dissertation must submit the following documents and apply to the Provost of the Graduate School of Library, Information and Media Studies (hereinafter referred as “the Provost”) on a day prescheduled in every month.

- \* Must be submitted to the Graduate Academic Affairs Section, the Academic Services Office for Library Information Science

① Application for early completion qualification screening (form code:別記様式—

- 後早 1 ): One copy  
 Participation Certification (output by TWINS): One copy
- ② Preliminary review application (form code: 別記様式—後予 1 ): One copy
  - ③ Preliminary draft for doctoral degree application: Five copies
  - ④ Abstract of preliminary draft for doctoral degree [Japanese]  
 (form code: 別記様式—後予 3 ) or  
 Abstract of preliminary draft for Doctoral Degree [English]  
 (form code: 別記様式-後予 4 ): One copy
  - ⑤ Author bibliography for preliminary draft (form code: 別記様式—後予 5 ): One copy
  - ⑨ Offprints or copies of papers that forms a core of the dissertation: Five copies of each
  - ⑩ Curriculum vitae (form code: 別記様式—後予 6 ): One copy
  - ⑪ Letter of consent (form code: 別記様式—後予 7 ): One copy of each
  - ⑫ Other reference materials for preliminary review (if any): One copy of each

\* The “Author bibliography for the preliminary draft for doctoral degree application” is a list of self-authored papers that satisfy the following conditions ① to ④. Rules for creating this author bibliography are detailed in I-3 (P20):

- ① Peer-reviewed papers published or accepted for publishing by academic journals with a peer-review system
- ② Peer-reviewed paper published or accepted for publishing in a peer-reviewed international conference proceedings paper
- ③ Authored book
- ④ Others

\* Documents that certify that the core papers have been peer-reviewed must be attached to the above set of application forms. If any of the papers has not yet been published, the attachment of a letter certifying that the paper has been accepted for publication will cause such core papers to be approved as “published.”

***(7) How a preliminary review is conducted***

- ① A Doctoral Dissertation Preliminary Review Committee, formed for each preliminary draft, reviews the draft. After the review, the committee makes its judgment within one year.
- ② Applicants must present the key points made in their intended dissertation at the presentation for their doctoral degree.
- ③ The Dissertation Preliminary Review Committee will confirm the following points and list their views in a preliminary review.
  - A) The peer review system of the papers that form the core of the preliminary draft of the doctoral degree

- B) Contents of letters of consent
- C) Possibility of changing the title

***(8) Applying for a Doctoral Dissertation Review***

The author of a preliminarily reviewed and successfully passed preliminary draft can apply for a doctoral dissertation review. Candidates who wish to undergo a dissertation review must submit the following documents and apply to the Provost on a day prescheduled every month.

\* Must be submitted to the Graduate Academic Affairs Section, the Academic Services Office for Library Information Science

- ① Dissertation review application (form code: 別記様式－後 1): One copy
- ② Doctoral dissertation: Five copies
- ③ Abstract of dissertation [Japanese] (form code:別記様式－後 2): One copy
- ④ Abstract of dissertation [English] (form code: 別記様式－後 3): One copy
- ⑤ Catalog for dissertation (form code: 別記様式－後 4): One copy
- ⑥ Offprints or copies of papers that form the core of the doctoral dissertation: Two copies of each
- ⑦ Petition on Internet publication (form code: 別記様式－後 1 0): One copy

***(9) How a doctoral dissertation review is conducted***

A group of five or six instructors, consisting of one or more experts from external organizations (e.g., faculty from other graduate schools at the University, faculty at graduate schools of other Universities or research institutes) and main and secondary academic advisors will examine if the material meets the requirements of a doctoral dissertation. A Doctoral Dissertation review is an occasion where a doctoral dissertation will be judged as “pass” or “fail” in the short term based on the condition that a preliminary review has duly examined the draft. Therefore no “modification required” or “conditional pass” judgment will be given. If major revisions are clearly necessary, the dissertation must be judged as “failed.”

- ① A Doctoral Dissertation Review Committee, formed for each dissertation, reviews the dissertation.
- ② The final presentation must be made open to the public. It lasts for about 60 minutes, including a Q&A session.
- ③ Public notice of the final presentation must be made by ten days prior to the event.
- ④ A final examination will be conducted after the final presentation. The examination questions cover the dissertation and its related matters, either orally or in writing. The examination is not open to the public, and lasts for 60 minutes or longer.

***(10) Conferment of Degree***

A Doctoral degree is conferred on candidates who have passed the dissertation review. The

official date of conferment is the last day of the month during which the Steering Committee has given their judgment as “pass.”

One CD for Internet publication, which contains the dissertation for the permanent archives, must be submitted by the day of conferment. If no CD is submitted, the conferment will be withheld.

***(11) Publication of doctoral dissertation***

Candidates who have received a doctoral degree must publish the full text of their dissertation on the Internet within one year of the day of conferment. If it is not possible to publish it on the Internet, due to plans to publish the dissertation as a book, patent application, etc., the applicant should submit their petitions to the Steering Committee. The Committee will make a decision on Internet publication and will issue a Letter of Approval if approved. However, regardless of whether or not it is possible to publish the dissertation openly on the Internet, the CD for University archive must be submitted by the day of degree conferment.

If the Steering Committee agrees the reason to be compelling, students will also submit a summary instead of the full text for Internet publication.

And, when the reason to be compelling is solved, contact the Graduate Academic Affairs Section, the Academic Services Office for Library Information Science immediately. The full text of his/her dissertation will be published on the Internet.

***(12) Precautions***

If any wrongdoing is uncovered, such as incorrect information having been submitted in the application, or the use of plagiarized data in a dissertation, the process of review will be halted. If wrongdoing is discovered after conferment of the degree, any degree obtained in such manner will be rescinded. Any type of misconduct will be subject to severe disciplinary action.

\*The dissertation and abstract of the doctoral dissertation must be prepared in conformance to the rules stipulated on Page 18 of the Doctoral Dissertation Guidelines.

### 3. Doctoral degree (Doctoral degree by way of dissertation)

#### ***(1) Dissertation Requirements (Diploma policy)***

To a doctoral degree obtained by means of a dissertation, a dissertation constitutes proof of independent research. The purpose of the dissertation is to enrich the academic standard of this research field with new findings obtained by original research. The Graduate School of Library Information and Media Studies requires the candidate to submit their dissertation written by him/her alone, in either English or Japanese, in which new knowledge discovered by means of appropriate research methods must be clearly described. It is therefore a condition that a doctoral dissertation must be a compilation of three or more papers published, after peer review, in academic journals.

#### ***(2) Prerequisites for taking a doctoral dissertation review***

- i) To have an academic advisor for the second stage of the doctoral degree act as a caretaker
- ii) To have passed a preliminary review

#### ***(3) Prerequisites for preliminary review***

Only those who fulfill the following conditions can take the preliminary review.

Three or more papers, which comprise the core of the doctoral dissertation, must be published or accepted for publication by academic journals with a peer-review system (Papers that comprise the core of a doctoral dissertation must be written by the candidate as the sole author or main author, and must be equivalent to a peer-reviewed full paper).

For candidates who a) left the program after having been enrolled for the prescribed period, b) have acquired the prescribed credits, and c) apply for a doctoral degree within two years of leaving without re-admittance the program, two or more papers, which provide cores to the dissertation, must have been published or accepted for publication by a peer-reviewed academic journal or accepted as peer-reviewed international conference's Proceedings papers. However, in such case, the candidate must have conducted interim presentation.

\* For candidates who left the program after having been enrolled for the prescribed period, have acquired the prescribed credits, and apply for a doctoral degree within two years of leaving without re-admittance the program, a peer-reviewed Proceedings paper will be approved as one of the core papers.

\*Even if it is published in an academic journal, if the journal is a sole organizational one like IBM Journal, etc., the paper will not be recognized as a peer-reviewed academic journal article.

\*Commentaries must not be included in a core paper, even if it has been published in an academic journal.

\*Papers that comprise the core of the dissertation must be written in English or Japanese.

#### ***(4) Preliminary Review***

A preliminary review is an occasion at which five instructors, including main and secondary academic advisors, examine the paper and judge whether it meets the requirements of a doctoral dissertation, at a preliminary stage. Applicants should modify their dissertation to eliminate the problems pointed out during the preliminary review. When such modifications raise the standard necessary to qualify it as doctoral dissertation, the paper will be judged as “pass”. Candidates who pass the preliminary review must apply for a doctoral dissertation review without delay.

Fee for the preliminary review of the doctoral degree by way of dissertation is free of charge, and the candidate can apply for the preliminary review of the doctoral degree by way dissertation only once.

\* If a candidate does not apply for the full review within three months from the day of the eligibility approved, the prior judgment in the preliminary review will be cancelled.

\* In case that the Steering Committee once approved the preliminary review as the “pass” while the student was enrolled in the second stage of the doctoral program and he/she left the program after the approval, if he/she applies for an authentic dissertation review within three months from the day he/she passed, it can be considered as a preliminary review of a ‘Doctoral Degree by Way of Dissertation’ upon the approval by the Steering Committee.

Candidates who wish to undergo a preliminary review of their dissertation must submit the following documents and apply to the Provost of the Graduate School of Library, Information and Media Studies (hereinafter referred as “the Provost”) on a day prescheduled in very month.

\* Must be submitted to the Graduate Academic Affairs Section, the Academic Services Office for Library Information Science

- ① Preliminary review application (form code: 別記様式—後予 2): One copy
- ② Preliminary draft for doctoral degree application: Five copies
- ③ Abstract of preliminary draft for doctoral degree [Japanese]  
(form code: 別記様式—後予 3) or  
Abstract of preliminary draft for Doctoral Degree [English]  
(form code: 別記様式-後予 4): One copy
- ④ Author bibliography for preliminary draft (form code: 別記様式—後予 5): One copy
- ⑤ Offprints or copies of papers that forms a core of the dissertation: Five copies of each
- ⑥ Curriculum vitae (form code: 別記様式—後予 6): One copy
- ⑦ Letter of consent (form code: 別記様式—後予 7): One copy of each
- ⑧ Confirmation sheet of dissertation intended for doctoral degree (form code: 別記様式—後予 8): One copy

- ⑨ Other reference materials for preliminary review (if any): One copy of each

\* “Author bibliography for preliminary draft of Doctoral Degree” is a list of self-authored papers that fit following ① to ④ conditions. Rules for creating this author bibliography are detailed in I.3 (P20).

- ① Peer-reviewed paper published or accepted for publication in an academic journal with a peer review system
- ② Peer-reviewed paper published or accepted for publication in a peer-reviewed international conference’s Proceedings papers
- ③ Authored book
- ④ Others

\* If any of the papers has not yet been published, the attachment of a letter certifying that the paper has been accepted for publication will cause such core papers to be approved as “published.”

***(5) How a preliminary review is conducted***

- ① A Doctoral Dissertation Preliminary Review Committee, formed for each preliminary draft, reviews the draft. After the review, the Committee makes its judgment within one year.
- ② An applicant must make a presentation on the key points of their dissertation.
- ③ The Dissertation Preliminary Review Committee will confirm the following points and list their views in a preliminary review.
  - A) Peer Review system of the papers that form the core of the preliminary draft
  - B) Contents of letters of consent
  - C) Possibility of replacing core paper with another peer-reviewed paper
  - D) Possibility of changing the title

***(6) Application for a dissertation review***

The author of a preliminarily reviewed and successfully passed preliminary draft can apply for a doctoral dissertation review. Candidates who wish to undergo a dissertation review must submit the following documents and apply to the Provost on a day prescheduled every month, with a postal transfer certificate of JPY 57,000 as the fee for the dissertation review, which is pasted on a *Furikomihyo-tenpu-daishi* (a slip on which a postal transfer is certified). Furthermore, if an early leaver who has been enrolled in the program for three years or longer and has acquired ten or more credits while attending, wishes to undergo a dissertation review within one year of the day he/she left without re-admittance the program, they are exempted from the fee for the dissertation review.

\*Must be submitted to the Graduate Academic Affairs Section, the Academic Services Office for Library and Information Science

\**Furikomi-toriatsukai-hyo* (*Furikomi-tsuchi-sho*), slips for postal transfer of the fee are



available at the Graduate Academic Affairs Section,

- ① Application for degree (form code: 別記様式—後 5): One copy
  - ② Dissertation: Five copies
  - ③ Abstract of dissertation [Japanese] (form code: 別記様式—後 6) : One copy
  - ④ Abstract of dissertation [English](form code: 別記様式—後 7): One copy
  - ⑤ Author bibliography for dissertation (form code: 別記様式—後 8): One copy
  - ⑥ List of research achievement (form code: 別記様式—後 9): One copy
  - ⑦ Offprints or copies of papers that forms a core of the dissertation: Two copies of each
  - ⑧ Petition on Internet publication (form code: 別記様式—後 1 1): One copy
  - ⑨ Petition on expected dissertation for a doctoral degree application (form code: 別記様式—後 1 2): One copy
- \* In case that an early leaver requests to consider his/her successful preliminary review while attending the program as a preliminary review of a ‘Doctoral Degree by Way of Dissertation’

#### ***(7) How dissertation review is conducted***

A group of five or six instructors, consisting of one or more experts from external organizations (e.g., faculty from other graduate schools at the University, faculty at graduate schools of other Universities or research institutes) and main and secondary academic advisors will examine if it meets the requirements and appropriate as a doctoral dissertation. A Doctoral Dissertation review is an occasion where a doctoral dissertation will be judged as “pass” or “fail” in the short term based on the condition that a preliminary review has duly examined the draft. Therefore no “modification” is required or allowed, further no “conditional pass” judgment will be given. If major revisions are clearly necessary, the dissertation must be judged as “failed.”

- ① A Doctoral Dissertation Review Committee, formed for each dissertation, reviews the dissertation.
- ② The final presentation must be made open to the public. It lasts for about 60 minutes, including a Q&A session.
- ③ Public notice of the final presentation must be made by ten days prior to the event.
- ④ A final examination will be conducted after the final presentation. The academic ability test examines subjects related to the dissertation’s field and foreign language ability, either orally or in writing. The examination will be conducted for sixty minutes or more, behind closed doors. If an early leaver who has been enrolled in the program for three years or longer and has acquired ten or more credits while attending, wishes to undergo a dissertation review within two years of the day he/she left, they are exempted from examination in a foreign language.

***(8) Conferment of Degree***

A Doctoral degree is conferred on candidates who have passed the dissertation review. The official date of conferment is the last day of the month during which the Steering Committee has given their judgment as “pass.” (However, a decision on a conferment in March must be made by the Steering Committee in February: it will be the final judgment on degree conferment).

One CD for Internet publication must be submitted by the day of conferment, which contains a copy of the doctoral dissertation for the permanent archives. If such CD is not submitted, the conferment will be withheld.

***(9) Publication of doctoral dissertation***

Candidates who have received a doctoral degree must publish the full text of their dissertation on the Internet within one year of the day of conferment. If it is not possible to publish it on the Internet, due to plans to publish the dissertation as a book, patent application, etc., the applicant should submit their petitions to the Steering Committee. The Committee will make a decision on Internet publication and will issue a Letter of Approval if approved. However, regardless of whether or not it is possible to publish the dissertation openly on the Internet, the CD for the permanent archives must be submitted by the day of degree conferment.

If the Steering Committee agrees the reason to be compelling, students will be able to submit a summary instead of the full text for Internet publication.

And, when the reason to be compelling is solved, contact the Graduate Academic Affairs Section, the Academic Services Office for Library Information Science immediately. The full text of his/her dissertation will be published on the Internet.

***(10) Precautions***

If any wrongdoing is uncovered, such as incorrect information having been submitted in the application, or the use of plagiarized data in a dissertation, the process of review will be halted. If wrongdoing is discovered after conferment of the degree, any degree obtained in such manner will be rescinded. Any type of misconduct will be subject to severe disciplinary action.

\*The dissertation and abstract of dissertation must be prepared in conformance to the rules stipulated on Page 18 of the Doctoral Dissertation Guidelines.

# Doctoral Dissertation Guidelines

## I. For Dissertation for Preliminary Review

### 1. Preliminary Draft

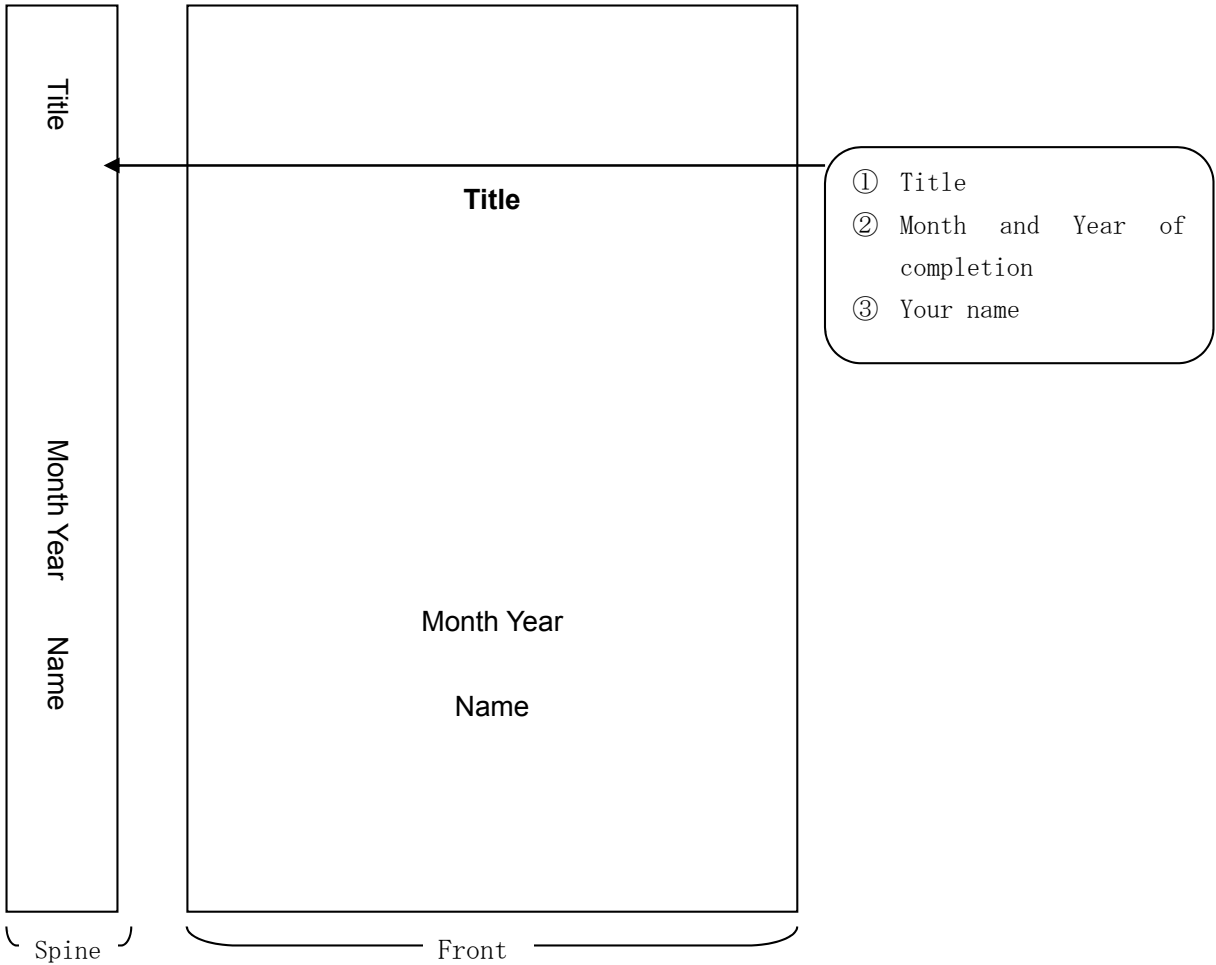
#### 1.1 Dissertation Format

- (1) Must use computer (Handwriting is not allowed).
- (2) Use A4-size paper with portrait orientation.  
No specific font face and style are required.
- (3) Include the following components: (\* If applicable)
  - ① Front Cover
  - ② Title Cover
  - ③ Abstract
  - ④ Table of Contents
  - ⑤ List of Figures\*
  - ⑥ Body of Dissertation
  - ⑦ Acknowledgement\*
  - ⑧ Bibliography
  - ⑨ Full list of publications
  - ⑩ Appendices\*

#### 1.2 Cover Page Format

- (4) Refer to example for Front Cover, Spine and Inside Cover.
- (5) Date of completion must be stated.

### Example of Front Cover and Spine



**Example of Title Cover**

**Title**

**Name**

**Graduate School of Library, Information and Media Studies  
University of Tsukuba**

**Month Year**

## **2. Abstract of preliminary draft for doctoral degree**

Using A4-sized paper, print the Japanese abstract of about 4000 characters on the form: 別記様式—後予3, or an abstract in English of about 1200 words on the form: 別記様式—後予4 as described below.

## **3. Author bibliography for preliminary draft for doctoral degree application**

### **3.1 Dissertation title**

The title of the preliminary draft must be written on the form. Below the title in English, add the Japanese translation in parentheses, and vice versa for Japanese title.

### **3.2 Core papers for the preliminary draft**

The author bibliography for the preliminary draft for a doctoral degree application must fall into one or more of the following Categories ① to ④. List every paper that relates to the topic of the thesis and apply a circle (○) to the top of the core papers, including the volume and issue of offprints and copies as printed. All authors' names should be given, with the applicant's name underlined. Attachment of documents is vital for understanding the peer-review system of core papers.

- ① Peer-reviewed academic journals
- ② Peer-reviewed Proceedings paper at an international conference
- ③ Authored books
- ④ Others

How to list

#### ① Peer-reviewed Academic Journals

[Example 1] (1) Taro Tsukuba, Hanako Tsuchiura, "Polynomial Time Search in Constraint Satisfaction Problems," Journal of the Japan Society of Mechanical Engineers (JSME), Vol.2 No.3, 2014, pp.234-240

[Example 2] ○(2) Taro Tsukuba, Hanako Tsuchiura, "Polynomial Time Search in Constraint Satisfaction Problems," Journal of the Japan Society of Mechanical Engineers (JSME), (submitted).

\*The paper must be accepted and guaranteed to be published by the end of the preliminary review.

[Example 3] ○(3) Taro Tsukuba, "Implementation of Distributed Robot Control Systems with Transputers," Trans. of the SICE, Vol.4 No.5, 2015 (to be accepted)

\*Be sure to attach a letter that provides evidence of acceptance and publication of the paper.

#### ② Peer-reviewed Proceedings paper

[Example 4] (1) Taro Tsukuba and Hanako Tsuchiura, "A Frequency Domain Repetitive Control Algorithm for Robot Manipulators", Proc. of the 2nd Motion and Vibration Control Conf., Yokohama, Aug 2007, pp.12-20.

[Example 5] (2) Taro Tsukuba and Hanako Tsuchiura, “An Algorithm for Robot Manipulators”, Proc. of the 3rd Motion and Vibration Control Conf., New York, Jul 2013 (in press).

③ Authored Books

[Example 6] (1) Taro Tsukuba, “Chapter 1. Polynomial Time Search in Constraint Satisfaction Problems” pp.23-50, written and edited by Hanako Tsuchiura, What is Machine Intelligence? University of Tsukuba Press, 2008, 150p.

[Example 7] (1) Taro Tsukuba, What is Machine Intelligence?, University of Tsukuba Press, 2008, 150p.

④ Others

i) Submitted unpublished peer-reviewed paper

[Example 8] (1) Taro Tsukuba, “A study on XXXXXX,” Journal of the Japan Society of XXX, (submitted)

ii) Non peer-reviewed paper

[Example 9] (1) Taro Tsukuba, “A study on XXXXXX,” Journal of the Japan Society of XXX,  
Vol.2 No.3, 2010, pp. 15-18

iii) Oral presentation

[Example 9] (1) Taro Tsukuba, “A study on XXXXXX,” Annual Convention of The Japan Society of XXX, December, 2012, oral presentation

#### **4. Offprints or copies of the core papers**

Attachments, in the same way as submission regulations, etc., must be attached to documents to certify that the core papers are peer reviewed.

#### **5. Curriculum Vitae**

Your name, as it appears on the diploma, will be the name you entered in your Curriculum Vitae. Be sure, therefore, to write your full name in print. To avoid any errors, international students must write their name in Roman lettering on the form.

#### **6. Letters of consent**

If a core paper for the preliminary draft is based on joint research, you are required to submit a letter of consent (form: 別記様式—後予7) from each co-researcher.

## **II. For Doctoral Dissertation Review**

### **1. Dissertation for doctoral degree**

#### 1.1 Dissertation Format

- 1) A4 size, vertical, output by a printer as single-sided or double-sided sheets
- 2) A dissertation should comprise the following. Items marked with an asterisk are not mandatory.
  - ① Front cover (same as preliminary draft)
  - ② Title page (Japanese or English) (same as preliminary draft)
  - ③ Abstract in Japanese (including Japanese title)

\*Does not apply to English-program students

- ④ Abstract in English (including English title)
- ⑤ Table of contents
- ⑥ List of Figures\*
- ⑦ Body of dissertation (including conclusion)
- ⑧ Acknowledgements\*
- ⑨ List of references
- ⑩ List of all research achievements
- ⑪ Appendixes\*

## 1.2 Style of front page, etc.

Same as the preliminary draft (see Page 18 and 19)

## 2. *Abstract of Dissertation*

Both the abstract of the dissertation about 4000 characters in Japanese (on Form 別記様式—後 2) and about 1200 words in English (on Form 別記様式—後 3) must be printed on A4 paper in the specified format.

However, English-program students must submit an English abstract only.

## 3. *Author bibliography for Dissertation*

### 3.1 Dissertation Title

Write the title of the dissertation. For an English title, a Japanese translation must be additionally presented in parentheses, and vice versa for a Japanese title.

### 3.2 Methods and timing of printing and publication

[Example 1] The main part of this dissertation has already been published in a paper shown to have references, and afterwards, the finding was submitted to the Journal of the XXX Society as the following paper.

[Example 2] This dissertation will be published on the Internet after the degree has been conferred.

[Example 3] XXX Publishers have undertaken to publish this as a book in (month), (year).

### 3.3 Core paper for dissertation

The author bibliography for dissertation intended for degree application must fall into one of the following categories ① to ④. Name all papers that relate to the topic of the thesis and apply a circle (○) to the head of the core paper. Offprints and copies of the volume and issue must also be provided as printed. All authors' names should be given, with the applicant's name underlined.

#### ① Peer-reviewed Academic Journals

[Example 1] (1) Taro Tsukuba, Hanako Tsuchiura, "Polynomial Time Search in Constraint Satisfaction Problems," Journal of the Japan Society of Mechanical Engineers (JSME), Vol.2 No.3, 2014, pp.234-240

[Example 2] ○ (2) Taro Tsukuba, “Implementation of Distributed Robot Control Systems with Transputers,” Trans. of the SICE, Vol.4 No.5, 2015 (to be accepted)  
\*A letter must be attached that provides evidence of acceptance and publication of the paper.

② Peer-reviewed Proceedings paper

[Example 3] (1) Taro Tsukuba and Hanako Tsuchiura, “A Frequency Domain Repetitive Control Algorithm for Robot Manipulators”, Proc. of the 2nd Motion and Vibration Control Conf., Yokohama, Aug 2007, pp.12-20.

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③ Authored Books

[Example 5] (1) Taro Tsukuba, “Chapter 1. Polynomial Time Search in Constraint Satisfaction Problems” pp.23-50, written and edited by Hanako Tsuchiura, What is Machine Intelligence? University of Tsukuba Press, 2008, 150p.

[Example 6] (1) Taro Tsukuba, What is Machine Intelligence? University of Tsukuba Press, 2008, 150p.

④ Others

i) Submitted unpublished peer-reviewed paper

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Vol.2 No.3, 2010, pp. 15-18

iii) Oral presentation

[Example 9] (1) Taro Tsukuba, “A study on XXXXXX,” Annual Convention of The Japan Society of XXX, December, 2012, oral presentation

#### ***4. Petition on Internet Publication***

If there is any reason for not publishing their dissertation on the Internet, the candidate should talk with an academic adviser or a caretaker to obtain approval for withholding publication. The rationale must be given in detail on the form. Publication on the Internet can be delayed for up to three years after completion of the program. If and when such reasons no longer apply, the degree holder should contact the Graduate Academic Affairs Section.

III. Submission of Dissertation for Internet Publication
--

#### ***1. Dissertation***

##### 1.1 Structure of thesis

(1) A4 portrait orientation, horizontal printed lines



(2) A doctoral dissertation should be comprised of the following (items marked with an asterisk are not mandatory):

- ① Title page (Japanese or English)
- ② Japanese abstract (including Japanese title)  
\*Not for English-program students
- ③ English abstract (including English title)
- ④ Table of contents
- ⑤ List of figures\*
- ⑥ Body of thesis (including conclusion)
- ⑦ Acknowledgements\*
- ⑧ List of references
- ⑨ List of all research achievements
- ⑩ Appendixes\*

### 1.2 Format of title cover

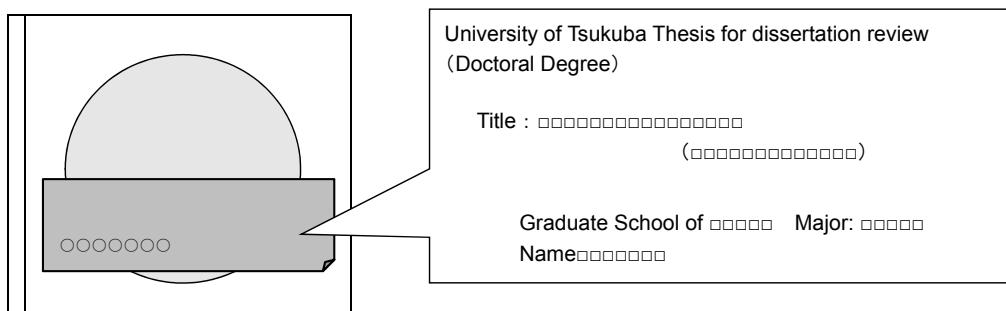
Same as for the preliminary draft (Page 19)

## ***2. How to submit a dissertation for Internet publication***

The full text of the dissertation must be converted and copied onto a CD as a PDF file, and the CD then submitted to the Graduate Academic Affairs Section. The Office will distribute media. Write your name and status as illustrated below on both the CD and its case.

Candidates whose petitions to withhold Internet publication have been approved should submit another CD that carries a summarized version.

### **Example of title**



\* Submission: One CD for Internet publication

One CD of thesis summary (only those who require this)

\* Submit to the Graduate Academic Affairs Section, the Academic Services Office for Library Information Science

\* Deadline: day of degree conferment

Please be reminded that conferment of a degree will be withheld from candidates who do not submit a CD for Internet publication.

### ***3. Publication***

Individuals who have been granted a doctoral degree must publish the full text of their doctoral dissertation on the Internet within one year of the day of degree conferment.

The processing section at the University will collect CDs carrying material for Internet publication. The University of Tsukuba Library will publish these materials via its institutional repository. The data published in such manner will be automatically archived in the Library of the National Diet.

Those dissertations withheld from publication on the Internet, whose authors have submitted a summary version for Internet publication instead, can be read the entire at the University of Tsukuba Library.

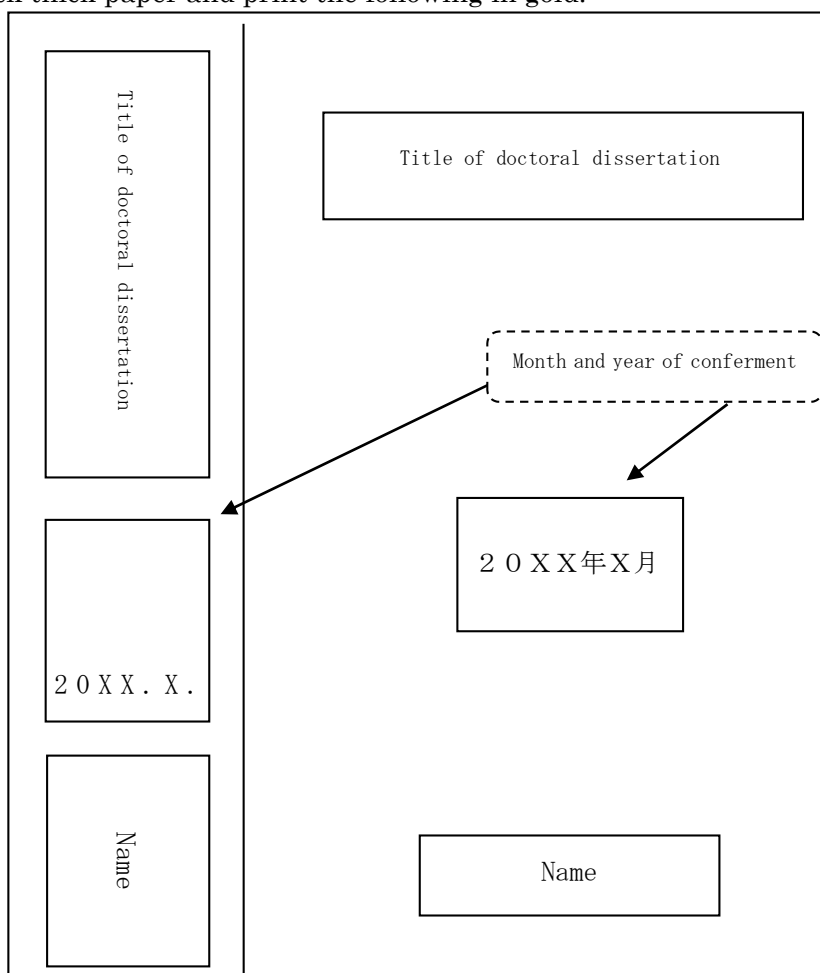
Dissertations withheld from publication on the Internet will also be published in full on the Internet if and when such reasons no longer apply.

#### IV. Style and Structure of Dissertation for Permanent Storage

There is no need to submit a book-bound dissertation for permanent storage. However, follow the instruction below if you intend to prepare one privately.

##### 1. Printed book version of a doctoral dissertation

- (1) A4-sized paper, printed in portrait orientation, with horizontal lines, output by a printer (single-sided or double-sided)
- (2) A doctoral dissertation should comprise the following (items marked with an asterisk are not mandatory):
  - ① Front cover (see (3))
  - ② Title cover (Japanese or English. Should be the same as for the preliminary draft)
  - ③ Japanese abstract (includes Japanese title)
  - ④ English abstract (includes English title)
  - ⑤ Table of contents
  - ⑥ Table of figures\*
  - ⑦ Body of doctoral dissertation
  - ⑧ Acknowledgements\*
  - ⑨ List of references
  - ⑩ List of all research achievements
  - ⑪ Appendixes\*
- (3) Use black thick paper and print the following in gold.



(2016.4)