

# Degree Application Guide

(Doctoral Program)

Version for Academic Year 2018

University of Tsukuba

Graduate School of Library, Information and Media Studies

October 2017

(Date Revised: April 18, 2018)

Doctoral Dissertation Schedule for Degree Conferment

2018/4/1

	Model schedule (degree conferment in August)	Date	Subject	Deliberation committee	Review committee	Submissions	Copies
Preliminary Review	2017/10/4	First Wednesday of June, October and February	Interim presentation				
	2018/3/1 ~ 2018/3/5	List 1	<b>(Student)</b> Submission deadline of preliminary review application			① Preliminary review application ② Dissertation for Preliminary Review  ③ Abstract of Dissertation for Preliminary Review (Japanese or English) ④ Author bibliography ⑤ Offprints or copies of papers that form the core of the dissertation ⑥ Curriculum vitae ⑦ Letter of consent Other reference materials (if any)	①: 1 ②: 5  ③: 1 ④: 1 ⑤: 5 ⑥: 1 ⑦: 1
	2018/3/14	2nd Wednesday	<b>(Academic advisor)</b> Submission of the Dissertation Preliminary Review Committee member list			① The Dissertation Preliminary Review Committee member list ② History and performance of the guest committee member	
	2018/3/20	3rd Wednesday	Deliberation of setting the Dissertation Preliminary Review Committee	Steering Committee			
	2018/4/1		Preliminary review				
	2018/5/9	2nd Wednesday			The Dissertation Preliminary Review Committee	① Preliminary review report (signed) ② List of the Doctoral Dissertation Review Committee members ③ History and performance of the guest committee member (Unnecessary for the same one with preliminary review)	
	2018/5/16	3rd Wednesday	Judgement of the Preliminary review and deliberation of setting the Doctoral Dissertation Review Committee	Steering Committee			
Doctoral Dissertation Review	2018/6/6 ~ 2018/6/8	List 1	<b>(Student)</b> Submission deadline of doctoral dissertation review application			① Doctoral dissertation review application ② Doctoral dissertation ③ Abstract of dissertation (Japanese) ④ Abstract of dissertation (English) ⑤ Catalog ⑥ Offprints or copies of papers that form the core of the dissertation ⑦ Petition on Internet publication ⑧ Non-plagiarized dissertation report	①: 1 ②: 5 ③: 1 ④: 1 ⑤: 1 ⑥: 2 ⑦: 1 ⑧: 1
	Middle June 2018	2 weeks before the final presentation	<b>(Academic advisor)</b> Decide the final presentation day				
	Early July 2018		The final presentation and the doctoral dissertation review			niti	
	2018/7/11	2nd Wednesday	<b>(Academic advisor)</b> Submission of report of the doctoral dissertation review			① The doctoral dissertation review (signed)	
	2018/7/18	3rd Wednesday	Judgement of the doctoral dissertation review and deliberation of degree conferment  <b>(A decision as to conferment in March must be made by the Steering Committee in February)</b>	Steering Committee		① The doctoral dissertation review ② Doctoral dissertation (final version) ③ Catalog ④ Offprints or copies of papers that form the core of the dissertation ※ Academic advisor prepares 2 copies of summary ② ※ Academic Service Office prepares 2 copies of ③ and ④	
	2018/8/31	End of each month	Degree conferment			Submit the CD for permanent archives to publish openly on the Internet.	
	End of September 2018	End of each academic season	Degree conferment ceremony				

[List 1]

Prescheduled days for submitting preliminary review application and the  
doctoral dissertation review

Month	Days
January 2018	4 (Thu.) · 5 (Fri.) · 9 (Tue.)
February 2018	7 (Wed.) · 8 (Thu.) · 9 (Fri.)
March 2018	1 (Thu.) · 2 (Fri.) · 5 (Mon.)
April 2018	4 (Wed.) · 5 (Thu.) · 6 (Fri.)
May 2018	2 (Wed.) · 7 (Mon.) · 8 (Tue.)
June 2018	6 (Wed.) · 7 (Thu.) · 8 (Fri.)
July 2018	4 (Wed.) · 5 (Thu.) · 6 (Fri.)
August 2018 ※	1 (Wed.) · 2 (Thu.) · 3 (Fri.)
September 2018	5 (Wed.) · 6 (Thu.) · 7 (Fri.)
October 2018	3 (Wed.) · 4 (Thu.) · 5 (Fri.)
November 2018	1 (Thu.) · 2 (Fri.) · 5 (Mon.)
December 2018	5 (Wed.) · 6 (Thu.) · 7 (Fri.)

Bring or send (due not later) documents on the days of the list.

※Only documents for doctoral dissertation review application are acceptable.

## Degree Application Guide

### (Doctoral Program)

For the application of Doctoral Dissertation Review (the review includes the final examination), follow the instructions below.

#### 1. Doctoral degree (Given after completing the course of study)

##### (1) *Diploma policy*

The doctoral degree is given for an individual who completes the purpose of the course which is defined in the Regulations of Graduate School of the University of Tsukuba, and is certified as possessing ability in the field of Library and Information Studies or Informatics on the final examinations. The degree given by Graduate School of Library, Information and Media Studies is Doctor of Philosophy in Library and Information Studies or in Informatics.

##### (2) *Doctoral Dissertation requirements*

A doctoral degree is an academic degree bestowed on an individual who is qualified as an independent researcher. The Graduate School of Library, Information and Media Studies obligates students to submit a sole author dissertation, in either English or Japanese, in which new knowledge obtained by 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.

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

- 1) Students need to complete an interim presentation three months prior to applying for a preliminary review.
- 2) Students should have enrolled in the doctoral program for three years or longer up to the point of degree conferment.
- 3) Students should have acquired ten or more credits during the doctoral program up to the point of degree conferment.

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

- Must have accredited in two lecture courses (four credits): Take one course from the own education and research field.
- Must have enrolled in four seminar courses (compulsory courses) (six credits).
- Advanced Experiments in Information and Media A (Academic Advisor (Main))
- Advanced Experiments in Information and Media B (Academic Advisor (Main))  
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 (Academic Advisor (sub))
- Special experiments in Information Media II (Academic Advisor (sub • another))

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

- Must have accredited in two lecture courses (four credits): Courses with codes starting with 02MA1, 02MA3, 02MA5, or 02MA7
  - Must have accredited 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 (sub) a)
    - Advanced Seminar in Information Media Studies IIb (Academic Advisor (sub) b)
    - Advanced Seminar in Information Media Studies IIIa (Academic Advisor (Main))
    - Advanced Seminar in Information Media Studies IIIb (Academic Advisor (Main))
- 4) Must have passed the preliminary review
- 5) Remain enrolled in the doctoral program until the day of the degree conferment.

#### \* Prerequisites for the interim presentation

Students who enrolled in the graduate school for one year or longer must give a presentation on the progress of their doctoral dissertation. In principle, the interim presentation is held at the first Wednesday of June, October or February. Students select the date that suits their progress of preparation, and give a presentation that summarizes their research purpose, methods and status of progress followed by Q&A session (60 minutes total).

#### \* Early completion requirements for students who complete the program in less than three years

Individuals who demonstrate outstanding research performance can complete the Doctoral 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.

#### ***(4) Application prerequisites for the preliminary review***

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

- 1) Two or more papers, which provide the core of 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 the doctoral dissertation must be peer-reviewed, i.e., equivalent to a full paper, written by the applicant as the sole or main author)
- 2) Must have conducted an interim presentation more than three months before

- \* At least one core paper should have been submitted and accepted while attending the doctoral program. The candidate can apply for a preliminary review if one of the submitted papers is still under review and the other one has already been published. In this case, if the paper under the review process is not accepted for publication by the end of the review, the student fails the preliminary review.
- \* A peer-reviewed international conference paper or a bulletin paper is acknowledged as one of core papers.
- \* Even if it is published in a peer-reviewed academic journal, the paper published in a sole organizational journal, such as IBM Journal, etc., is recognized as equivalent to a peer-reviewed bulletin paper.
- \* Commentaries cannot be included in the core papers, even if they have been published in an academic journal.
- \* Papers that comprise the core of the doctoral dissertation must be written in either English or Japanese.

**(5) *Preliminary Review***

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

- \* Unless the doctoral dissertation review is applied within three months from the day of the preliminary review, the candidates will have to undergo the preliminary review again.
- \* In case that the Steering Committee once approved the passing of the preliminary review while the candidate was enrolled in the doctoral program and withdraws the program after the approval, if the candidate applies for an authentic dissertation review within three months from passing the preliminary review, it can be considered the preliminary review as a ‘Doctoral Degree by Way of Dissertation’ with the approval of 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 the days prescheduled every month.

- \* Submission: Graduate Academic Affairs Section,  
Academic Services Office for Library and Information Science Area

- ① Preliminary review application (form code: 別記様式—後予 1): One copy
- ② Dissertation for Preliminary Review: Five copies

- ③ Abstract of Dissertation for Preliminary Review [Japanese] (form code: 別記様式—後予 3) or Abstract of Dissertation for Preliminary Review [English] (form code: 別記様式—後予 4): One copy
  - ④ Author bibliography (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 (if any): One copy of each
- \* The “Author bibliography” is a list of self-authored papers that meet the following conditions 1) to 2). Rules for creating an author bibliography are detailed in I-3 (p.20).
- 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
- \* Documents certifying that core papers have been peer-reviewed must be attached to the above application form. If any of the papers has not yet been published, the attachment of a letter certifying that the paper has been accepted for publication is necessary.

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

- 1) A Dissertation Preliminary Review Committee formed for each applicant reviews the Dissertation for Preliminary Review. After the review, the committee makes their judgment within one year.
- 2) The candidate applying for a preliminary review must make a presentation of the key points of the Dissertation for Preliminary Review.
- 3) The Dissertation Preliminary Review Committee will examine the following points and describe their findings in a preliminary review report.
  - The peer review system of the papers that form the core of the Dissertation for Preliminary Review
  - Contents of letters of consent
  - Possibility of replacing core paper with another peer-reviewed paper
  - Possibility of title change

***(7) Applying for Doctoral Dissertation Review***

After successfully passed the preliminarily review, candidates can apply for the dissertation review. Those who wish to take the doctoral dissertation review must submit following documents and apply to the Provost on the day prescheduled every month.

- \* Submission: Graduate Academic Affairs Section,  
Academic Services Office for Library and Information Science Area

- 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
- ⑧ Non-plagiarized dissertation report(form code: 別記様式－後 1 3): One copy

**(8) *How a dissertation review is conducted***

A group of five or six examiners 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 main and sub 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 session.
- 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.

**(9) *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 judges as “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.

**(10) *Publication of the 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, apply the patent, etc.,

students should submit their petition to the Steering Committee. The Committee will make a decision on Internet publication and will issue a Letter of Approval and an Answer on Postponement of Internet Publication (form 1) with period if approved. The length of the period to postpone approved here is the end of March of one year after from the day of conferment.

And, when the reason to be compelling is solved, students must submit an Application on Resolving the Reason of Postpone Internet Publication (form 2) immediately.

When the reason is not resolved during the period of postpone, students must submit an Application on Extension of Postponement of Internet Publication (form 3) by the end of February of the year. If students do not submit the form, the full text of doctoral dissertation will be published on the Internet on April 1 of the year.

When an Application on Extension of Postponement of Internet Publication (form 3) is submitted, the Steering Committee will make a decision and issue form 1 if approved. However the longest length of the postponement is until the end of March of three years after from the day of conferment.

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.

When the Steering Committee agrees the reason of postponement, students will submit a summary in addition to the full text of the doctoral dissertation. A summary is published openly as a substitute. However in the case, the University provide full text of doctoral dissertation if someone requests to read.

If students permit to publish openly, he/she is able to submit postponement by a petition on Internet publication. The propriety of the postponement is judged at the next Steering Committee. A doctoral dissertation already published is not able to withdraw the Internet publication.

#### **(11) *Precautions***

If any wrongdoing is uncovered, such as incorrect information having been submitted in the application, or the use of plagiarized data in the dissertation, the review process 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.



## 2. Doctoral degree (Early completion)

Students who demonstrate outstanding research performance can complete the Doctoral 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.

### (1) *Diploma policy*

The doctoral degree is given for an individual who complete the purpose of the course which is defined in Regulations of Graduate School of the University of Tsukuba, and was certified as possessing ability in the field of Library and Information Studies or Informatics on the final examinations. The degree given by Graduate School of Library, Information and Media Studies is Doctor of Philosophy in Library and Information Studies or in Informatics.

### (2) *Doctoral Dissertation requirements*

A doctoral degree is an academic degree bestowed on an individual who is qualified as an independent researcher. The Graduate School of Library, Information and Media Studies obligates students to submit a sole author dissertation, in either English or Japanese, in which new knowledge obtained by 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.

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

- 1) Students need to complete an interim presentation three months prior to applying for a preliminary review.
- 2) Students should have acquired ten or more credits during the doctoral program up to the point of degree conferment.

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

- Must have accredited in two lecture courses (four credits): Take one course from the own education and research field.
- Must have enrolled in four seminar courses (compulsory courses) (six credits).
- Advanced Experiments in Information and Media A (Academic Advisor (Main))
- Advanced Experiments in Information and Media B (Academic Advisor (Main))

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 (Academic Advisor (sub))
- Special experiments in Information Media II (Academic Advisor (sub • another))

**Students who enrolled in AY2015or later**

- Must have accredited in two lecture courses (four credits): Courses with codes starting with 02MA1, 02MA3, 02MA5, or 02MA7
- Must have accredited 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 (sub) a)
- Advanced Seminar in Information Media Studies IIb (Academic Advisor (sub) b)
- Advanced Seminar in Information Media Studies IIIa (Academic Advisor (Main))
- Advanced Seminar in Information Media Studies IIIb (Academic Advisor (Main))

3) Must have passed the preliminary review

\* Prerequisites for the interim presentation

Students who enrolled in the graduate school for one year or longer must give a presentation on the progress of their doctoral dissertation. In principle, the interim presentation is held at the first Wednesday of June, October or February. Students select the date that suits their progress of preparation, and give a presentation that summarizes their research purpose, methods and status of progress followed by Q&A session (60 minutes total).

\* To give an interim presentation during the first year, 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 *(4) Application prerequisites for preliminary review* concerning the core papers.

***(4) Application prerequisites for the preliminary review***

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

- 1) 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)

2) Must have conducted an interim presentation more than three months before

\* At least one core paper should have been submitted and accepted while attending the doctoral program. The candidate can apply for a preliminary review if one of the submitted papers is still under review and the other has already been published. In

this case, if the paper under the review process is not accepted for publication by the end of the review, the student fails the preliminary review.

- \* A peer-reviewed international conference paper or a bulletin paper is acknowledged as one of core papers.
- \* Even if it is published in a peer-reviewed academic journal, the paper published in a sole organizational Journal, such as IBM Journal, etc., is recognized as equivalent to a peer-reviewed bulletin paper.
- \* Commentaries cannot be included in the core papers, even if they have been published in an academic journal.
- \* Papers that comprise the core of the doctoral dissertation must be written in either English or Japanese.

### **(5) *Preliminary Review***

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

- \* Unless application for a doctoral dissertation review within three months from the day of the preliminary review, the candidates will have to undergo the preliminary review again.

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 the days prescheduled every month.

- \* Submission: Graduate Academic Affairs Section,  
Academic Services Office for Library and Information Science Area

- ① Early completion application(form code: 別記様式—後早 1 ): One copy
- ② Credit situation certification(form code: 別記様式—後早 2 ): One copy
- ③ Preliminary review application (form code: 別記様式—後予 1 ): One copy
- ④ Dissertation for Preliminary Review: Five copies
- ⑤ Abstract of Dissertation for Preliminary Review [Japanese] (form code: 別記様式—後予 3 ) or Abstract of Dissertation for Preliminary Review [English] (form code: 別記様式—後予 4 ): One copy
- ⑥ Author bibliography (form code: 別記様式—後予 5 ): One copy
- ⑦ Offprints or copies of papers that forms a core of the dissertation:  
Five copies of each
- ⑧ Curriculum vitae (form code: 別記様式—後予 6 ): One copy
- ⑨ Letter of consent (form code: 別記様式—後予 7 ): One copy of each

⑩ Other reference materials (if any): One copy of each

- \* The “Author bibliography” is a list of self-authored papers that meet the following conditions 1) to 2). Rules for creating an author bibliography are detailed in I-3 (p.20).
  - 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
- \* Documents certifying that core papers have been peer-reviewed must be attached to the above application form. If any of the papers has not yet been published, the attachment of a letter certifying that the paper has been accepted for publication is necessary.

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

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

**(7) *Applying for Doctoral Dissertation Review***

After successfully passed the preliminarily review, candidates can apply for the 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: Graduate Academic Affairs Section,  
Academic Services Office for Library and Information Science Area

- ① Dissertation review application (form code: 別記様式－後 1): One copy
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- ③ Abstract of dissertation [Japanese] (form code: 別記様式－後 2): One copy
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- 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
- ⑧ Non-plagiarized dissertation report(form code: 別記様式－後 1 3): One copy

**(8) *How a dissertation review is conducted***

A group of five or six examiners 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 main and sub 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 session.
- 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.

**(9) *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 judged 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.

**(10) *Publication of the 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, apply the patent, etc., students should submit their petition to the Steering Committee. The Committee will make a decision on Internet publication and will issue a Letter of Approval and an Answer on Postponement of Internet Publication (form 1) with period if approved. The length of the period to postpone approved here is the end of March of one year after from the day of conferment.

And, when the reason to be compelling is solved, students must submit an Application on Resolving the Reason of Postpone Internet Publication (form 2) immediately.

When the reason is not resolved during the period of postpone, students must submit an Application on Extension of Postponement of Internet Publication (form 3) by the end of February of the year. If students do not submit the form, the full text of doctoral

dissertation will be published on the Internet on April 1 of the year.

When an Application on Extension of Postponement of Internet Publication (form 3) is submitted, the Steering Committee will make a decision and issue form1 if approved. However the longest length of the postponement is until the end of March of three years after from the day of conferment.

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.

When the Steering Committee agrees the reason of postpone, students will submit a summary in addition to the full text of the doctoral dissertation. A summary is published openly as a substitute. However in the case, the University provide full text of doctoral dissertation if someone requests to read.

If students permit to publish openly, he/she is able to submit postponement by a petition on Internet publication. The propriety of the postponement is judged at the next Steering Committee. A doctoral dissertation already published is not able to withdraw the Internet publication.

**(11) *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.

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

#### (1) *Diploma policy*

The doctoral degree is given for an individual who certificated ability of the field of Library and Information Studies or Informatics on the final examinations. The degree given by Graduate School of Library, Information and Media Studies is Doctor of Philosophy in Library and Information Studies or in Informatics.

#### (2) *Doctoral Dissertation requirements*

To a doctoral degree obtained by way of dissertation, a dissertation constitutes proof of independent researcher. 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 sole 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.

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

- 1) To have an academic advisor for the doctoral degree act as a caretaker
- 2) To have passed a preliminary review

#### (4) *Application 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 those 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 those 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 international conference paper or a bulletin paper is acknowledged as a one of core papers.
- \* Even if it is published in a peer-reviewed academic journal, the paper published in a



sole organizational Journal, such as IBM Journal, etc., is recognized as equivalent to a peer-reviewed bulletin paper.

- \* Commentaries cannot 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 either English or Japanese.

#### **(5) Preliminary Review**

A preliminary review is an occasion at which five instructors, including main and sub academic advisors, examine the paper and judge whether it meets the requirements of a doctoral dissertation. Applicants should modify their dissertation to eliminate the problems pointed out during the preliminary review. When such modifications are applied and considered to have reached to the required standard as a doctoral dissertation, the paper will be regarded as having passed the preliminary review. The 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.

- \* Unless application for a doctoral dissertation review within three months from the day of the preliminary review, 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 doctoral program and he/she left the program after the approval, and he/she applies for an authentic dissertation review within three months from the day he/she passed, it can be considered a preliminary review for a ‘Doctoral Degree’ as a preliminary review for 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 the days prescheduled every month.

- \* Submission: Graduate Academic Affairs Section,  
Academic Services Office for Library and Information Science Area

- ① Preliminary review application (form code: 別記様式—後予 2): One copy
- ② Dissertation for Preliminary Review: Five copies
- ③ Abstract of Dissertation for Preliminary Review [Japanese] (form code: 別記様式—後予 3) or Abstract of Dissertation for Preliminary Review [English] (form code: 別記様式—後予 4): One copy
- ④ Author bibliography (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 (if any): One copy of each

- \* The “Author bibliography” is a list of self-authored papers that meet the following conditions 1) to 2). Rules for creating an author bibliography are detailed in I-3 (p.20).
  - 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
- \* Documents which certifying that core papers have been peer-reviewed must be attached to the above application form. If any of the papers has not yet been published, the attachment of a letter certifying that the paper has been accepted for publication is necessary.

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

- 1) A Dissertation Preliminary Review Committee formed for each applicant reviews the Dissertation for Preliminary Review. 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 Dissertation for Preliminary Review.
- 3) The Dissertation Preliminary Review Committee will examine the following points and describe their findings in a preliminary review report.
  - The peer review system of the papers that form the core of the Dissertation for Preliminary Review
  - Contents of letters of consent
  - Possibility of Replacing core paper with another peer-reviewed paper
  - Possibility of title change

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

The author of a preliminarily reviewed and successfully passed Dissertation for Preliminary Review 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 *Furikomihyotenpu-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 Area

\* *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 0): One copy
  - ⑨ Non-plagiarized dissertation report (form code: 別記様式—後 1 4): One copy
  - ⑩ 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’

**(8) *How dissertation review is conducted***

A group of five or six examiners 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 main and sub 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 a Q&A session.
- 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 academic ability test examines subjects related to the dissertation’s field and foreign language ability, either orally or in writing. The examination is not open to the public and lasts 60 minutes or longer. 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.

**(9) *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 judges as “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.)

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.

**(10) *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, apply the patent, etc., students should submit their petition to the Steering Committee. The Committee will make a decision on Internet publication and will issue a Letter of Approval and an Answer on Postponement of Internet Publication (form 1) with period if approved. The length of the period to postpone approved here is the end of March of one year after from the day of conferment.

And, when the reason to be compelling is solved, students must submit an Application on Resolving the Reason of Postpone Internet Publication (form 2) immediately.

When the reason is not resolved during the period of postpone, students must submit an Application on Extension of Postponement of Internet Publication (form 3) by the end of February of the year. If students do not submit the form, the full text of doctoral dissertation will be published on the Internet on April 1 of the year.

When an Application on Extension of Postponement of Internet Publication (form 3) is submitted, the Steering Committee will make a decision and issue form 1 if approved. However the longest length of the postponement is until the end of March of three years after from the day of conferment.

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.

When the Steering Committee agrees the reason of postponement, students will submit a summary in addition to the full text of the doctoral dissertation. A summary is published openly as a substitute. However in the case, the University provide full text of doctoral dissertation if someone requests to read.

If students permit to publish openly, he/she is able to submit postponement by a petition on Internet publication. The propriety of the postponement is judged at the next Steering Committee. A doctoral dissertation already published is not able to withdraw the Internet publication.

(11) *Precautions*

If any wrongdoing is uncovered, such as incorrect information having been submitted in the application, or the use of plagiarized data in the dissertation, the review process 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 19 of the Doctoral Dissertation Guidelines.

# Doctoral Dissertation Guidelines

## I. For Preliminary Review

### 1. *Dissertation for Preliminary Review*

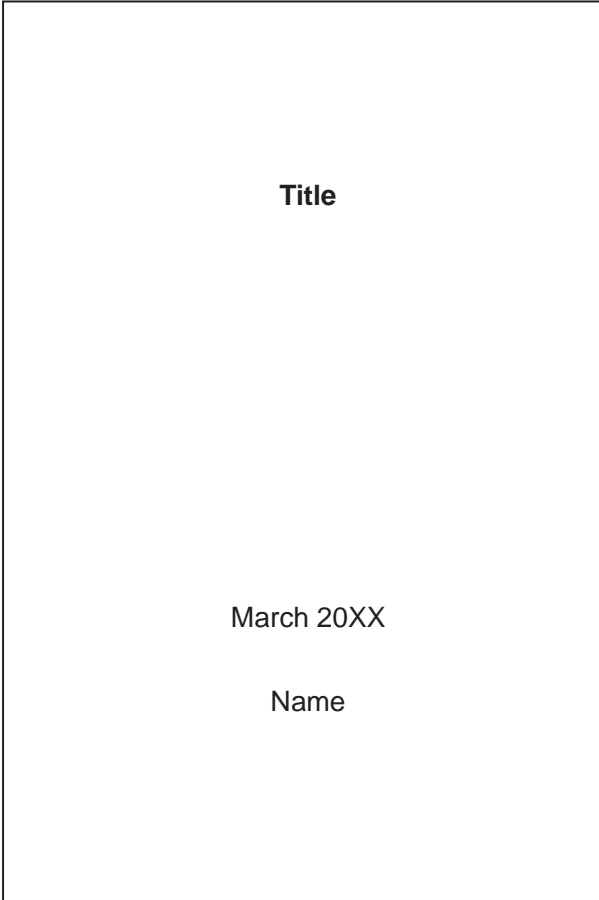
#### 1.1 Dissertation Format

- (1) Use A4-size paper with portrait orientation, write horizontally and printed (simplex printing or duplex printing)
  
- (2) Include the following components: (\* If applicable)
  - ① Front Cover
  - ② Title Cover (Japanese or English)
  - ③ Abstract (Japanese or English)
  - ④ Table of Contents
  - ⑤ List of Figures\*
  - ⑥ Body of Dissertation (include conclusion)
  - ⑦ Acknowledgement\*
  - ⑧ Bibliography
  - ⑨ Full list of publications
  - ⑩ Appendices\*

#### 1.2 Cover Page Format

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

### Example of Front Cover



The image shows a rectangular box representing the front cover of a dissertation. The text is centered within the box. At the top, the word "Title" is written. Below it, there is a large blank space. Further down, the date "March 20XX" is written. At the bottom, the word "Name" is written.

**Example of Title Cover**

**Title**

**Name**

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

**Month 20XX**

## 2. *Abstract of Dissertation for Preliminary Review*

Print the abstract in Japanese 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 on A4-sized paper.

## 3. *Author bibliography for Dissertation for Preliminary Review*

### 3.1 Dissertation title

Write the title of the Dissertation for Preliminary Review on the form. Below the title in English, add the Japanese translation in parentheses, and vice versa for Japanese title.

### 3.2 Core papers of the Dissertation for Preliminary Review

List two or more papers that form the core of the dissertation in the following categories 1) to 2). Write the name of the categories 1) and 2). Write “None” on the blank category.

- 1) Peer-reviewed academic journals
- 2) Peer-reviewed Proceedings paper at an international conference

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 (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).

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

Attach documents as submission regulations, etc. to certify that the core papers are peer reviewed, in addition to offprints or copies of the core papers.

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

Write your name clearly in both Japanese and English. The spelling you write here is used for the diploma.

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

If a core paper for the Dissertation for Preliminary Review 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) Use A4-size paper with portrait orientation, write horizontally and printed (simplex printing or duplex printing)
- (2) Include the following components: (\* If applicable)

- ① Front cover
- ② Title page (Japanese or English)
- 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 Dissertation for Preliminary Review (p.19-20)

### **2. *Abstract of Dissertation***

Print the Japanese abstract of about 4000 characters on the form: 別記様式—後2, and an abstract in English of about 1200 words on the form: 別記様式—後3 on A4-sized paper.

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

#### 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.

#### 5. *Non-plagiarized dissertation report*

Applicants of the doctoral dissertation have to use plagiarism checking tool “iThenticate” with academic advisor and submit the report with both applicant and academic advisor signed.

If you have to modify something on the doctoral dissertation after the final presentation, use iThenticate again and also resubmit non-plagiarized report too. (The submission of the report is unnecessary if the modification is minor. The judgement of resubmission is made by the doctoral dissertation review.)

## III. Submission of Dissertation for Internet Publication

### 1. *Dissertation*

#### 1.1 Structure of thesis

- (1) Use A4-size paper with portrait orientation, write horizontally
- (2) Include the following components: (\* If applicable)

- 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

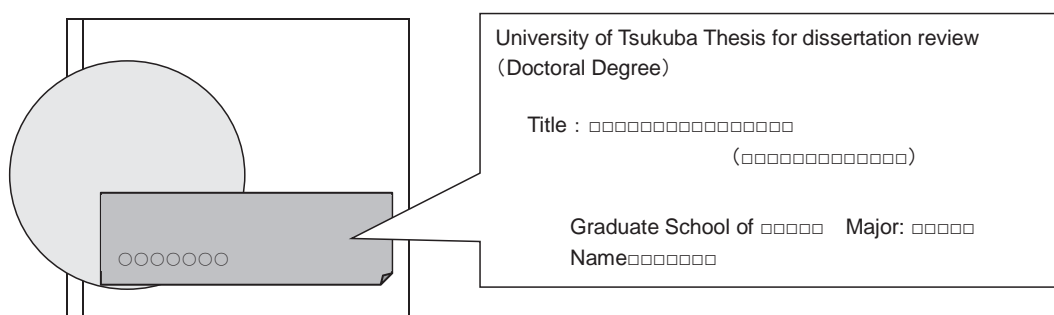
Same as for the Dissertation for Preliminary Review (p.20)

## 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, then the CD 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 and 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 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 postponed from publication on the Internet, whose authors have submitted a summary version for Internet publication instead, can be read full text at the University of Tsukuba Library.

Dissertations postponed 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)
  - 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.

