

Graduate School of Science and Engineering
Ehime University
Submission Guidelines for Doctoral Dissertation
(Curriculum-based and Dissertation-based Doctoral Degrees)

1. Qualification for the Submission

(1) Curriculum-based Doctoral Course

A student enrolled at the Graduate School of Science and Engineering of Ehime University meeting or expected to meet the following requirements may apply for the Doctoral Degree.

- Has attended this Graduate School for the designated period of doctoral course
- Has received the necessary research supervision
- Has acquired the course credits as per Academic Provision Article 14(1) of this Graduate School

(2) Dissertation-based Doctoral Course

A person registered in the Dissertation-based Doctoral Course and meeting one of the following points may apply for the Doctoral Degree.

- ① Has withdrawn from this Graduate School after attending it for 3 (three) years or more, acquiring the designated course credits, and receiving the necessary research supervision
- ② Has a research record of 4 years or more after acquiring a master's degree
- ③ Has a research record of 6 years or more after acquiring a bachelor's degree
- ④ Does not fall within the above categories but has been qualified by the Engineering Committee of the Graduate School
 - Has a research history of 10 years or more after graduation from a two-year college or from a technical school under the old system or technical college
 - Has a research history of 12 years or more after graduation from a high school under the new system
 - Has a research history of 10 years or more after graduation from a high school under the old system
 - Does not fall within the above categories but is recognized as having a research history equivalent to that of a person who has completed a doctoral course

[N.B.]

The research record shall refer to the following positions held and sum of the respective periods.

- ① The research period at a university as a fulltime faculty
- ② The research period at a university as a research student
- ③ The period at a university as a graduate student
- ④ The research period at a government, public, or private organization
- ⑤ Any other period as recognized by the Graduate Course committee

2. Submission Period

(1) Curriculum-based Doctoral Course

The Dissertation and degree application may be submitted within the designated period of doctoral course but only after completing 2 (two) years as an enrolled student. However, if the Faculty Meeting of the Graduate School of Science and Engineering recognizes that the applicant meets Academic Provision Article 47 for the Graduate Course, the application may be submitted after completing 1 (one) year as an enrolled student.

As a rule, a student willing to acquire the degree within the standard course period must submit the Dissertation and related documents by 25 December (if it is a weekend day, the next weekday) of the final academic year. In the case of students entering the course in October, the Dissertation and related documents must be submitted by 30 June of the final academic year.

(2) Dissertation-based Doctoral Course

The Dissertation and the degree application may be submitted anytime during the year. (As a general rule, however, the hearing and defense take place only in the months of February, June, and October.)

3. Application Documents

(1) Curriculum-based Doctoral Course

- | | |
|---|----------|
| ① Application for degree (Form No. 1-1) | 1 copy |
| ② Dissertation | 5 copies |
| ③ Dissertation summary (Form No. 3) | 1 copy |
| ④ Curriculum vitae (Form No. 4) | 1 copy |
| ⑤ Degree type confirmation sheet (Form No. 9) | 1 copy |

An applicant who has published reference papers must submit the following (⑥ ~⑨) papers in addition to above documents.

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|---|--|-----------------------------|
| ⑥ | Contents of the dissertation (Form No. 2) | 5 copies |
| ⑦ | Copies of published core reference papers ^(see Notes 1) | 5 copies |
| ⑧ | Acceptance letter for a paper in press | 1 copy |
| ⑨ | Letter/s of consent from the co-author/s
(Form No. 5) | 1 copy (for each co-author) |
- (If a letter of consent is not available, please include the reason)

(2) Dissertation-based Doctoral Course

- | | | |
|---|--|-----------------------------|
| ① | Application for degree (Form No. 1-2) | 1 copy |
| ② | Contents of the dissertation (Form No. 2) | 5 copies |
| ③ | Dissertation | 5 copies |
| ④ | Dissertation summary (Form No. 3) | 1 copy |
| ⑤ | Copies of published core reference papers ^(see Notes 1) | 5 copies |
| ⑥ | Curriculum vitae (Form No. 4) | 1 copy |
| ⑦ | Degree certificates of previous courses attended | 1 copy each |
| ⑧ | Research experience certificate/s (Form No. 8) | 1 copy from each |
| ⑨ | Degree type confirmation sheet (Form No. 9) | 1 copy |
| ⑩ | Application charge | 57,000 yen |
| ⑪ | Residence certificate (or something that confirms the name and nationality) ^(see Notes 3) | 1 copy |
| ⑫ | Family Registration Certificate (only if the name has been changed) | 1 copy |
| ⑬ | Letter/s of consent from the co-author/s
(Form No. 5) | 1 copy (for each co-author) |
- (If a letter of consent is not available, please include the reason)

Notes

- 1) The published core reference papers refer to peer-reviewed journal papers, which are the basis of the dissertation.
- 2) The degree application charge (of 57,000 yen) is not required if the application is made within a year of withdrawing from the Graduate School after attending it for 3 (three) years, acquiring the required course credits, and receiving necessary research supervision.
- 3) Only persons not holding Japanese citizenship.

4. Submission Procedure

The Dissertation and the related degree application documents must be submitted in person to the Education Support Division (Engineering Team), Ehime University .

(1) Curriculum-based Doctoral Course

When submitting the Dissertation, consent must be obtained from the main research supervisor.

(2) Dissertation-based Doctoral Course

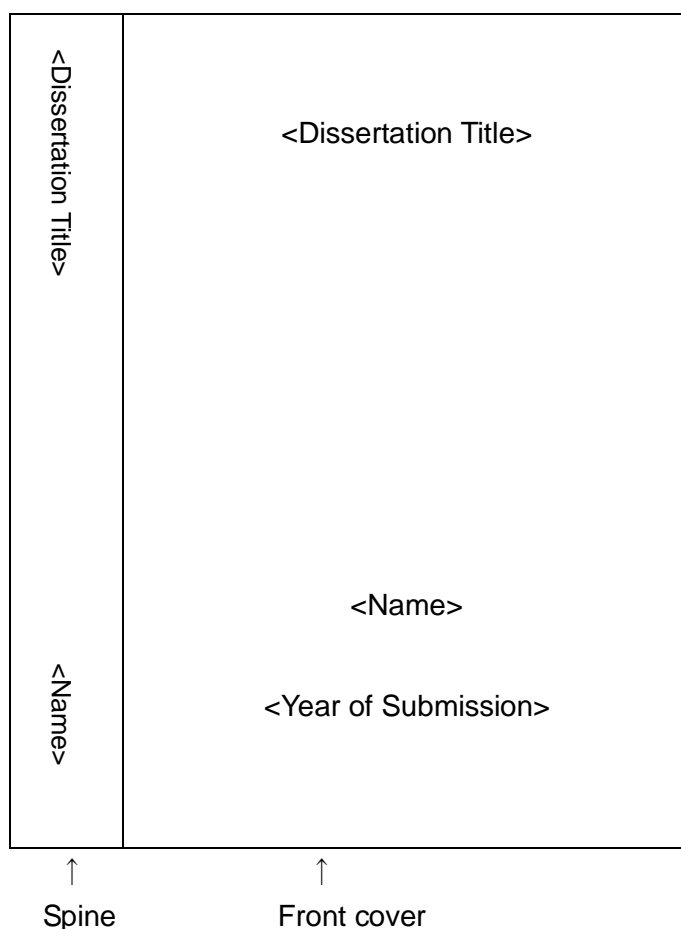
When submitting the Dissertation, consent must be obtained from the Introducing Professor of this Graduate School.

5. Guidelines for preparation of the Dissertation and related documents

(1) Dissertation

The Dissertation may be written in Japanese or English. It is desirable that the Dissertation be printed on A4 (210x297mm) white sheets with double line spacing (typed or word-processed).

[Sample cover for the Dissertation]



(2) Core and Other Reference Papers

- ① Copies of the published core reference papers should be put together in a file with 'Core Reference Papers' and <Name> printed on the file cover.
- ② A core reference paper with co-authorship may be included only if the co-author has no record of using it in his dissertation or for any degree application in the past, and it has been already published or is in press.
- ③ If there is need to include other published reference papers, they should be put together in a file with 'Other Reference Papers' and <Name> printed on the file cover.

(3) Dissertation Summary

- ① The Dissertation Summary may be written in Japanese (up to 2000 characters) or English (up to 1500 words).
- ② The writing space shall be as designated in the Form No. 3
(Standard format for Japanese: A4 sheet, 11-point fonts, 38 characters in one line, 40 lines in one page, 25mm margin all round)
(Standard format for English: A4 sheet, 12-point fonts, single line spacing, 25mm margin all round)
- ③ Figure/s, table/s, chemical symbols, etc. included in the summary must be very clear.

6. Guidelines for Preparing Application Documents

Please refer to separate sheet for the guidelines for preparing the following application documents.

- | | |
|--|--|
| (1) Application for degree | (Curriculum-based) Form No. 1-1
(Dissertation-based) Form No. 1-2 |
| (2) Contents of the dissertation | Form No. 2 |
| (3) Dissertation summary | Form No. 3 |
| (4) Curriculum vitae | Form No. 4 |
| (5) Research experience certificate/s | Form No. 8 |
| (6) Degree type confirmation sheet | Form No. 9 |
| (7) Letter/s of consent of the co-author/s | Form No. 5 |
- (If a letter of consent is not available, format for stating the reason is optional)

7. Hearing Defense of the Dissertation

- (1) The Hearing Defense is organized by the Assessment Committee, and is chaired and conducted by the committee head (the main research supervisor or the introducing professor).

- (2) The applicant will be informed directly of the date and time of the Hearing Defense, and it is required that he/she presents the Dissertation content at the designated time.

8. Final Defense/Examination (Curriculum-based Doctoral Course)

- (1) The final defense/examination is carried out in written or oral form focusing on the Dissertation and related subjects.
- (2) The applicant will be informed directly of the date and time of the final defense/examination.

9. Final Defense/Examination (Dissertation-based Doctoral Course)

- (1) Final Defense/Examination is conducted to confirm that the doctoral candidate has a broad academic knowledge equivalent to or more than that of a curriculum-based doctoral degree conferee of this Graduate School. The Defense/Examination is mainly focused on the submitted Dissertation including some related topics. It is conducted in either written or oral form. Moreover, there is a test involving foreign language to check the academic ability of the candidate.
- (2) The applicant will be informed directly of the date and time of the final defense or oral examination.

10. Publication of the Dissertation

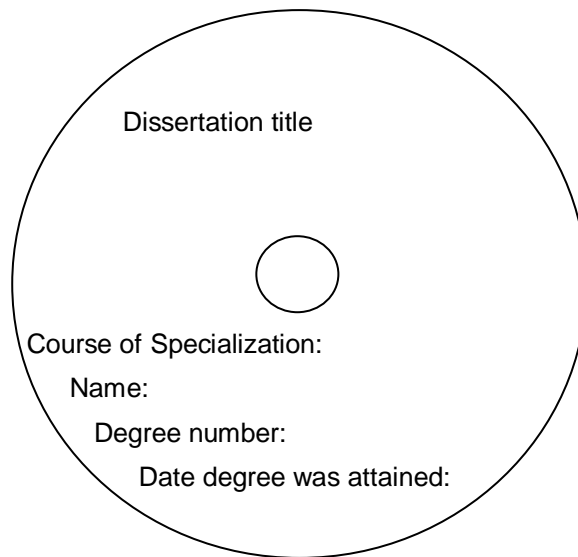
Those persons who are awarded a doctorate degree will have their dissertations included on the Ehime University Institutional electronic repository from which they can be accessed and downloaded via the internet. In such cases, having reviewed and confirmed any relevant rights and usage policies (e.g. publisher copyright policy [see note below], etc.), the documents listed below must be submitted to the Education Support Division (Engineering Team), Ehime University, within 3 months of completing your degree.

The documents listed under ② and ③ below are to be saved electronically and submitted on CD (PDF/A (ISO-19005))

Documents to be submitted:

- ① Dissertation Release Consent and Application for Entry in the Ehime University Institutional Repository (Form 11) (1 copy, paper)
- ② Dissertation summary (Form 3) (1 copy, electronic)
- ③ Dissertation (1 copy, electronic)
- ④ Online publication of dissertation (Institutional Repository inclusion) checklist (Form 1) (1 copy, paper)

※ Format of CD label.



Note: In cases of dissertation publication or inclusion in a journal

It is necessary to check publisher policy if a dissertation that has been published or has appeared in a journal is submitted for entry into the institutional repository. If a dissertation is submitted without such confirmation, infringes copyright, and is the subject of complaints, responsibility shall fall on the principle author. In order to avoid such situations, please confirm whether or not previously published material is permitted (and the length of that permission) to be included in the repository prior to submitting it for repository inclusion. If unsure, please contact the publisher directly. If you are unable to check the rights and usage policy, please contact the library academic information division (図書館学術情報チーム).

(2) Exceptions to the Release of Dissertation Period

If you meet one of the following criteria detailed below (exceptional circumstances), submit documents ① – ⑤ to the Education Support Division (Engineering Team), Ehime University, within 3 months of completing your degree.

With respect to the document listed under ⑤ below, submit two CDs: one as above, and an additional CD with the label marked “NOT TO BE RELEASED” in addition to the required information outlined above. Your dissertation will only be available for viewing from Ehime University library, until such time as you are able to release your dissertation (i.e. your extenuating circumstance has been resolved).

Once the reason for your dissertation not being released is resolved, submit the document entitled “Online publication of dissertation (Institutional Repository) extenuating circumstance resolution report” (Form 2) as soon as possible.

Documents to be submitted

- ① Dissertation Release Consent and Application for Entry in the Ehime University Institutional Repository (Annex form 11) (1 copy, paper)
- ② Dissertation summary (Form No. 3) (1 copy, electronic)
- ③ Dissertation abstract. (1 copy, electronic)
- ④ Reason for not submitting (any format acceptable)
- ⑤ Dissertation (2 copies, electronic)
- ⑥ Online publication of dissertation (Institutional Repository inclusion) checklist (1 copy, paper)

*** Recognized Exceptional circumstances**

- ① Because of an application for patent, etc.
- ② Because permission from a publisher has not been granted for articles accepted for publication.
- ③ Because of issues of privacy protection.
- ④ Because an article is to be submitted, or accepted for publication.

※Persons who meet a criterion for exceptional circumstances (below) will be contacted every three years by their supervisor to discuss the release of their dissertation.

(Last revised: April 1st 2013)

(Last revised: July 10th 2014)