









## **6. Introduction**

- The background, issues and/or hypotheses of the research project must conform to the required style for articles in the academic field concerned, and be discussed clearly
- The research objectives must be logically derived and clearly shown. The research objectives must also correspond to the research plan and methods, and the acquired knowledge and conclusions
- Where the study stands, its significance, its distinctions and its innovation must be clearly shown through comparison with previous research
- The literature and statistical information must be appropriately and adequately cited

## **7. Materials and Methods**

- The research plan must be drawn up so that it can meet the research objectives
- The materials or data and analytical methods must be accurately described and academic validity must be shown
- Verification by other researchers of the described materials or data and the analytical methods must be possible
- Appropriate analytical methods must be used
- The literature related to the materials or data and analytical methods must be appropriately cited

## **8. Analysis, Interpretation and Discussion of Results**

- The required analysis must be provided to meet the research objectives
- Data and results must be appropriately and adequately analyzed, logically interpreted and discussed through required techniques of the academic field concerned such as statistical methods
- Figures and photographs must be appropriately positioned. The style of the figures and photographs must accurately and concisely explain the content. The figures and photographs must also be clear and distinct when printed
- The necessary literature to interpret the results and develop the discussion must be appropriately cited

## **9. Conclusion**

- Answers to the research project and objectives should be discussed as a conclusion by giving comprehensive consideration to the interpretation and discussion of the results
- The extent to which the research objectives were met should be discussed
- Outstanding issues and future challenges should be discussed as unresolved
- Acquired knowledge should be discussed in terms of how it can contribute to the academic field concerned
- If there are fields that can contribute through noteworthy outcomes and acquired knowledge, these must be described

## **10. In-text Citations and Reference List**

- When references are cited, the author(s), year of publication, and other relevant information should be shown
- The format should be consistent
- There should be no errors or omissions

### **11. List of Main Papers**

- A list of the main papers used in creating the dissertation and related conference presentations should be shown

### **12. Sentence Format, Expression, and Phrasing**

- A consistent style should be used throughout the dissertation
- Numbers for pages, chapters, sections, figures and photographs should be consistently applied, without any errors
- There should be no mistakes in spelling or grammar. Even after submitting the dissertation, you may be asked to have the dissertation proofread by a native speaker of English

### **13. Dissertation Presentation**

- The dissertation research should be clearly presented within the scope of the abstract
- Use appropriate presentation slides and other materials. Explanations should be clear and accurate
- Answers to questions should be accurate
- The presentation time must be observed

### **III-3. Response to Improper Conduct**

- Any improper conduct during the coursework or in writing the dissertation such as falsifying, fabricating or plagiarizing data (or other acts of plagiarism) will not be tolerated. If improper conduct is identified, prompt and severe measures will be taken in line with university regulations
- If a degree was conferred as a result of illegal or improper conduct, or if there was conduct that besmirches the reputation of the university, the degree can be revoked according to Article 19 of the Degree Requirements of Kochi University

### **III-4. Implementation Guidelines for the Doctoral Dissertation Review of Kuroshio Science, Graduate School of Arts and Sciences, Kochi University (Extract)**

#### **Section 1 General Regulations**

**Article 2** The degree conferred for the course is a Doctor of Philosophy (PhD).

#### **Section 2 Doctoral dissertation review and final examination for conferral of a degree through completing a course (PhD by coursework)**

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

**Article 4** Applicants for the PhD by coursework who have not passed a preliminary review conducted beforehand in a graduate school faculty meeting, may not submit their doctoral dissertation.

2. The preliminary review is a review of the doctoral dissertation submission eligibility (ten or more credits acquired), specialist learning, published papers, and presentations at international conferences.

##### **(Preliminary Review Procedures)**

**Article 5** The preliminary review is conducted twice a year in the first and second semesters and the application deadline for each is written below.

- (1) First semester deadline : April 30  
(if a national holiday, the previous working day)
- (2) Second semester deadline: October 31  
(if a national holiday, the previous working day)
2. Applicants for the doctoral degree by coursework must submit their application as follows to the Head of Kuroshio Science (hereinafter, the Head) through their supervisor by the aforementioned application deadline. However, (7) and (8) shall refer to Article 5 in Additional Notes on the Implementation Guidelines for the Doctoral Dissertation Review of Kuroshio Science, Graduate School of Arts and Sciences, Kochi University.

- |   |          |
|---|----------|
| (1) Application for Dissertation Review                   | 1 copy   |
| (2) Outline of Dissertation                               | 4 copies |
| (3) List of Publications and Other Works                  | 4 copies |
| (4) Presentations at International Conferences            | 1 copy   |
| (5) Main papers   | 4 copies |
| (6) Curriculum Vitae                                      | 1 copy   |
| (7) Letter(s) of Consent                                  | 1 copy   |
| (8) Letter(s) of Scheduled Publication (only if required) | 1 copy   |

##### **(Preliminary Review Committee)**

**Article 6** The Head, upon receiving the Article 5 documents, must immediately form a preliminary review committee comprising three or more people including the applicant's supervisor.

##### **(Preliminary Review Results)**

**Article 7** The preliminary review committee chairperson must report the results of the preliminary review to the Head.

2. The Head must inform the applicant for the doctoral degree by coursework in writing of the result of



the preliminary review based on the decision of the graduate school faculty meeting.

3. The result of the preliminary review shall be valid only for the application for the doctoral dissertation review for the applicable period directly after the preliminary review.

**(Submission of Dissertation)**

**Article 8** The applicant for the doctoral degree by coursework who passes the preliminary review must submit the following documents to the Head through their supervisor by June 15 (if a national holiday, the previous working day) for first semester applicants or December 15 (if a national holiday, the previous working day) for second semester applicants.

- |                                       |          |
|---------------------------------------|----------|
| (1) Doctoral dissertation (original)  | 1 copy   |
| (2) Doctoral dissertation (copy)      | 3 copies |
| (3) Abstract of doctoral dissertation | 4 copies |

**(Review Committee)**

**Article 9** The Head, upon receiving the Article 8 documents, shall refer them for review in a graduate school faculty committee meeting.

2. The graduate school faculty committee shall form a review committee comprising a chief examiner and two or more co-examiners.
3. The chief examiner is the supervisor and the co-examiners include two or more co-supervisors. In addition, faculty from other courses, graduate schools, or other research institutes as can be appointed as external examiners.
4. There shall be a chairperson of the review committee and that chairperson shall be the chief examiner.

**(Dissertation Presentation Committee)**

**Article 10** The review committee shall hold an open review meeting (hereinafter, the doctoral dissertation presentation) as one part of the doctoral dissertation review.

2. The review committee must inform the applicant for the doctoral degree by coursework of the date of the doctoral dissertation presentation by, in principle, one week before the date of the presentation.

**(Dissertation Review and Final Examination)**

**Article 11** The review committee must review the doctoral dissertation, conduct a final examination and report the results to the Head.

2. The final examination focuses on the submitted dissertation with questions on knowledge of the basics and specialized subjects as well as foreign language proficiency.

**(Decision on Conferral of Degree)**

**Article 12** The graduate school faculty committee meeting determines whether to confer a degree based on the information in Article 1.

2. In making the decision in the previous paragraph, at least two-thirds of the graduate school faculty committee meeting members must be present and two-thirds or more of the present members must agree.
3. The Head must report the results of the decision of Article 1 in writing to the Dean of the Graduate School of Integrated Arts and Sciences.

### **(Presentation of Doctoral Dissertation)**

**Article 13** The conferee must submit to the Head the dissertation saved in PDF format and the entire dissertation must be made public in the Kochi University Digital Repository for Academic Resources within one year of the date of conferral.

2. Notwithstanding the provisions of the previous paragraph, in the event of unavoidable circumstances, with the approval of the Dean through a decision of the review committee, a summary of the dissertation may be published in place of the full dissertation. However, once the reason for not publishing the full dissertation has been resolved, the full dissertation must be published after reporting to the Head.

### **Section 3 The Doctoral Dissertation Review and Confirmation of Academic Ability for Conferral of Degree by Submitting a Dissertation Only**

#### **(Eligibility Requirements for Submission of Dissertation)**

**Article 14** Applicants submitting a dissertation to receive a degree (hereinafter, applicants for PhD by research) must qualify under the following requirements:

- (1) Those who have attended a minimum of three years in the graduate school (for long-term study program students, the number of years for which the scheduled course is allowed exceeds the standard term of study), gained the prescribed credits, and withdrew after receiving the required research guidance.
  - (2) Those who possess a minimum eight (8) years of research experience after graduating from university.
  - (3) Those who possess a minimum five (5) years of research experience after completing a masters program at a graduate school.
  - (4) Those who possess, after withdrawing from a doctoral program, a minimum period of research experience calculated as follows:  
$$[(\text{standard term of study} - \text{time enrolled}) \times 2].$$
  - (5) Those who have been deemed in a graduate school faculty committee meeting to possess the same or higher level of research experience as those stipulated above.
2. Research experience is deemed to be the following:
- (1) Time engaged in research as a faculty member at a university or junior college
  - (2) Time engaged in research as a researcher at a university or junior college
  - (3) Time enrolled as a student at a graduate school
  - (4) Time engaged in research in the civil service or private industry
  - (5) Other: Time engaged in research deemed in a graduate school faculty committee meeting to be at the same or higher level as that above

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

**Article 15** Applicants for the PhD by degree by submitting a dissertation only who have not passed a preliminary review conducted beforehand in a graduate school faculty meeting, may not submit their doctoral dissertation.

2. The preliminary review is a review of the doctoral dissertation submission eligibility (ten or more credits acquired), specialist learning, published papers, and presentations at international conferences.

#### **(Procedures for Preliminary Review)**

**Article 16** Applicants for PhD by research must select beforehand a faculty member, as a recommended faculty member, from an academic area closely related to the content of the dissertation, from the list of supervisors.

2. Applicants for PhD by research must submit the following documents through the recommended faculty member. However, (9) and (10) shall refer to Article 5 in Additional Notes on the Implementation Guidelines for the Doctoral Dissertation Review of Kuroshio Science, Graduate School of Arts and Sciences, Kochi University.

- |  |               |
|--|---------------|
| (1) Application for Dissertation Review (Form No. 11)              | 1 copy        |
| (2) Outline of Dissertation (Form No. 12)                          | 4 copies      |
| (3) List of Publications and Other Works (Form No. 3)              | 4 copies      |
| (4) Presentations at International Conferences (Form No. 13)       | 1 copy        |
| (5) Main Papers  | 4 copies each |
| (6) Curriculum Vitae (Form No. 5)                                  | 1 copy        |
| (7) Diploma or Certificate of Completion from last school attended | 1 copy        |
| (8) Statement of Research Experience (Form No. 20)                 | 1 copy each   |
| Excluding those prescribed in Article 14 Paragraph 1 Number (1)    |               |
| (9) Letter(s) of Consent (Form No. 19)                             | 1 copy each   |
| (10) Letter of Scheduled Publication (no prescribed form)          | 1 copy each   |

3. The above documents shall be accepted at any time.

#### **(Preliminary Review Committee)**

**Article 17** The Head, upon receiving the Article 16 documents, must immediately form a preliminary review committee comprising three or more people including the recommended faculty member.

#### **(Preliminary Review Results)**

**Article 18** The preliminary review committee chairperson must report the results of the preliminary review to the Head.

2. The Head must inform the applicant for the doctoral degree by coursework in writing of the result of the preliminary review based on the decision of the graduate school faculty meeting.

#### **(Submission of Dissertation)**

**Article 19** The applicant for PhD by research, who has passed the preliminary review prescribed in Article 15, must submit the dissertation to the Head along with the dissertation review fee prescribed in the following document. However, those who qualify under Article 14 Paragraph 1 Number (1), if the dissertation is submitted within one (1) year of the date of withdrawal, are exempt from paying the dissertation review fee according to Article 4 Paragraph 2 of the Degree Requirements.

#### **(Review Committee)**

**Article 20** The Head, upon receiving the Article 8 documents, shall refer them for review in a graduate school faculty committee meeting.

2. The graduate school faculty committee shall form a review committee comprising a chief examiner and two or more co-examiners.

3. The chief examiner is the supervisor and the co-examiners include two or more co-supervisors. In addition, faculty from other courses, graduate schools, or other research institutes as can be appointed

as external examiners.

4. There shall be a chairperson of the review committee and that chairperson shall be the chief examiner.

#### **(Dissertation Presentation Committee)**

**Article 21** The review committee shall hold an open review meeting (hereinafter, the doctoral dissertation presentation) as one part of the doctoral dissertation review.

2. The review committee must inform the applicant for the doctoral degree by coursework of the date of the doctoral dissertation presentation by, in principle, one week before the date of the presentation.

#### **(Review of Dissertation and Confirmation of Academic Ability)**

**Article 22** The review committee reviews the dissertation and confirms academic ability and must report the results to the Head using the Dissertation Review Results Report (Form No. 16), Dissertation Review Results Summary (Form No. 17), and the Academic Ability Confirmation Result Summary (Form No. 18).

2. Other than a final examination as prescribed in Article 11, confirming academic ability is conducted either orally or in writing with questions on knowledge of the basics and specialized subjects as well as foreign language proficiency to confirm whether the applicant has an academic ability equivalent to or higher than a graduate from this course.
3. Those who qualify under Article 14 Paragraph 1 Number (1), if the doctoral dissertation is submitted within three (3) years of withdrawing, may be exempt from taking the final examination in the confirmation of academic ability in the previous paragraph.
4. Those who withdrew part way through the doctoral program and those who have completed the program, may omit part of the written or oral questioning, but not the final examination.
5. The review committee must inform applicants for PhD by research beforehand of the required items related to confirming academic ability.

#### **(Decision on Conferral of Degree)**

**Article 23** The graduate school faculty committee meeting determines whether to confer a degree based on the information in Article 22.

2. In making the decision in the previous paragraph, at least two-thirds of the graduate school faculty committee meeting members must be present and two-thirds or more of the present members must agree.
3. The Head must report the results of the decision of this article Paragraph 1 in writing to the Dean of the Graduate School of Integrated Arts and Sciences.

#### **(Presentation of Doctoral Dissertation)**

**Article 24** The conferee must submit to the Head the dissertation saved in PDF format and the entire dissertation must be made public in the Kochi University Digital Repository for Academic Resources within one year of the date of conferral.

2. Notwithstanding the provisions of the previous paragraph, in the event of unavoidable circumstances, with the approval of the Dean through a decision of the review committee, a summary of the dissertation may be published in place of the full dissertation. However, once the reason for not publishing the full dissertation has been resolved, the full dissertation must be published after reporting to the Head.

### **III-5. Additional Notes on the Implementation Guidelines for the Doctoral Dissertation Review of Kuroshio Science, Graduate School of Arts and Sciences, Kochi University (Extract)**

#### **Article 3 (Period of Doctoral Dissertation Submission)**

1. To be eligible to submit a dissertation, an applicant must earn a minimum of 10 of the 14 required credits.

#### **Article 5 (Preliminary Review Procedures)**

2. A preliminary review will not be conducted unless all the following requirements are satisfied.
  - (1) An eligible applicant must have attended this graduate school for a minimum of two (2) years and earned a minimum of 10 of the 14 required credits (the graduate school office will advise the review committee of the number of earned credits).
  - (2) Must have a minimum of one (1) main paper.
  - (3) Must have presented at least once at an international conference (including academic meetings) or a conference in Japan (including academic meetings) of equivalent status.
3. Main Papers
  - (1) The main papers are the important papers written in the conduct of the doctoral dissertation research, or the papers related to the main part of the doctoral dissertation.

However, if a paper is in press, and the applicant possesses a Letter of Scheduled Publication (no specified format) issued by the editorial board of the said journal, the in-press paper will be considered a published paper.

If the Letter of Scheduled Publication cannot be provided by the time of the preliminary review, then the preliminary review will proceed as a provisional review until the letter is issued. However, the deadline for submitting the Letter of Scheduled Publication is the day before the dissertation presentation.
  - (2) The main papers must show high quality research results, have the applicant as first author, and be published (or accepted for publication). High quality research results refer to the following:
    - a) Is published in a peer-reviewed scientific journal that uses several reviewers
    - b) Is a scientific paper
    - c) Is considered equivalent to the standard of a) and b) above
  - (3) The main papers, in principle, should be written in Japanese or English. If there is a specific reason related to the field of research, then writing a paper in another language may be permitted.
  - (4) The main papers must not have previously been used as part of or form the entire dissertation of a person other than the applicant.
  - (5) If a main paper is co-authored, to submit the dissertation so the applicant can obtain a degree, the applicant must obtain a letter of consent from each co-author (Form 19). However, if the co-author is the examiner in the preliminary review and/or review committee, he or she are excluded from issuing the letter of consent. In case that the letter of consent cannot be obtained (for example, a case that a contact cannot be made with a co-author), the applicant must submit a statement of reasons (free format, but it should be signed or sealed by the applicant).

### **Article 11 (Dissertation Review and Final Examination)**

1. The final examination is either an oral examination or a written examination.
2. Changes or substitutions to the submitted dissertation are not permitted. However, the applicant may make minor revisions to the dissertation as stipulated below:
  - (1) Revisions instructed by the review committee:
    - a) The review committee reports the revisions to the Head of Kuroshio Science (hereinafter, the Head), decides a revision deadline in consultation with the Head, and then promptly advises the applicant. The revision deadline is set to fall between the start of the review and until the graduate school faculty committee meeting votes on the dissertation.
    - b) After the revision of the dissertation by the applicant, the review committee confirms the appropriateness of the revisions, and reports to the graduate school faculty committee prior to the decision.
    - c) If the revisions have not been completed by the deadline, the review committee may, in consultation with the Head and the academic affairs committee, take measures such as extend the deadline (the revised dissertation must be submitted in PDF format by the dissertation submission deadline at the latest), or suspend or postpone the decision. The consent of the graduate school faculty committee must be obtained with respect to the measures.
  - (2) For the revisions (wording, misspelled or missing words, etc.) determined by the applicant, the applicant applies to the Head and obtains permission, and submits the revisions in PDF format by the dissertation submission deadline.

### **Article 14 (Eligibility Requirements for Submission of Dissertation)**

1. Proof of having the required research guidance is not required.
2. The period of enrolment in the calculation [(standard term of study–time enrolled) × 2] is in units of six months and fractions of a month are rounded off.

### **Article 16 (Preliminary Review Procedures)**

1. The recommending professor should be the professor responsible for research guidance from among the full-time instructors at the graduate school (including visiting professors from associated graduate schools).
2. A preliminary review will not be conducted for those who do not meet all the following requirements.
  - (1) Applicants must have a minimum of three (3) main papers. However, applicants who are eligible under Article 21 Paragraph 3 need only a minimum of one (1) main paper.
  - (2) Must have presented at least once at an international conference (including academic meetings) or a conference in Japan (including academic meetings) of equivalent status.
3. Main Papers

The main papers are the important papers written in the conduct of the doctoral dissertation research, or the papers related to the main part of the doctoral dissertation.

However, if a paper is in press, and the applicant possesses a Letter of Scheduled Publication (no specified format) issued by the editorial board of the said journal, the in-press paper will be considered a published paper.

If the Letter of Scheduled Publication cannot be provided by the time of the preliminary review, then the preliminary review will proceed as a provisional review until the letter is issued. However, the deadline for submitting the Letter of Scheduled Publication is the day before the dissertation

presentation.

- (1) The main papers must show high quality research results, have the applicant as first author, and be published (or accepted for publication). High quality research results refer to the following:
  - a) Is published in a peer-reviewed scientific journal that uses several reviewers
  - b) Is a scientific paper
  - c) Is considered equivalent to the standard of a) and b) above
- (2) The main papers, in principle, should be written in Japanese or English. If there is a specific reason related to the field of research, then writing a paper in another language may be permitted.
- (3) The main papers must not have previously been used as part of or form the entire dissertation of a person other than the applicant.
- (4) If a main paper is co-authored, to submit the dissertation so the applicant can obtain a degree, the applicant must obtain a letter of consent from each co-author, other than the applicant (Form 19).

#### **Article 22 (Dissertation Review and Final Examination)**

1. The final examination is either an oral examination or a written examination.
2. Changes or substitutions to the submitted dissertation are not permitted. However, the applicant may make minor revisions to the dissertation as stipulated below:
  - (1) Revisions instructed by the review committee:
    - a) The review committee reports the revisions to the Head of Kuroshio Science (hereinafter, the Head), decides a revision deadline in consultation with the Head, and then promptly advises the applicant. The revision deadline is set to fall between the start of the review and until the graduate school faculty committee meeting votes on the dissertation.
    - b) After the revision of the dissertation by the applicant, the review committee confirms the appropriateness of the revisions, and reports to the graduate school faculty committee prior to the decision.
    - c) If the revisions have not been completed by the deadline, the review committee may, in consultation with the Head and the academic affairs committee, take measures such as extend the deadline (the revised dissertation must be submitted in PDF format by the dissertation submission deadline at the latest), or suspend or postpone the decision. The consent of the graduate school faculty committee must be obtained with respect to the measures.
  - (2) For the revisions (wording, misspelled or missing words, etc.) determined by the applicant, the applicant applies to the Head and obtains permission, and submits the revisions in PDF format by the dissertation submission deadline.

## Notes on the cover page of the Doctoral Dissertation

The cover page of the Doctoral Dissertation

<p>Doctoral Dissertation</p> <p>Title of the Dissertation (Japanese Title of Dissertation)</p> <p>by</p> <p>Name</p> <p>Kuroshio Science Program Graduate School of Integrated Arts and Sciences Kochi University</p> <p>Month(September or March) Year</p>
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1. Provide a Japanese translation in parentheses below the title of the Dissertation.
2. Abbreviations should not be used in the title except for generalized ones.
3. If a subtitle is included, it should be as brief as possible.



### **III-6. About Online Publication After Receiving a Degree**

In line with the partial revision of the Degree Regulations (Ministry of Education Ordinance #9, 1953) in April 2013, the Kochi University Degree Regulations were also revised. Those who were awarded a Doctor of Philosophy (PhD) degree in April 2013 or later are now required to publish the full text of their Doctoral Dissertation online, within one year of the date they received their PhD degree, instead of in a traditional print publication.

When submitting the data of your Doctoral Dissertation to the administrative staff in Kuroshio Science Office (hereinafter, the administrative staff), please also submit “the Confirmation of Online Publication of Doctoral Dissertation (in the Kochi University Academic Information Repository)” form.

Please contact the administrative staff in advance if you are unable to submit your Doctoral Dissertation and “the Confirmation of Online Publication of Doctoral Dissertation (in the Kochi University Academic Information Repository)” form.