

Shinshu University Graduate School of Medicine, Science and Technology
3-year Courses in the Department of Science and Technology
and the Department of Biomedical Engineering
Dissertation Guidelines (Revised April 1, 2023)

■ Introduction

These guidelines explain the required procedures for the doctoral dissertation in the 3-year courses in the Department of Science and Technology and the Department of Biomedical Engineering, Shinshu University Graduate School of Medicine, Science and Technology. Please read the guidelines carefully and carry out the required procedures of dissertation writing through online publication after receiving the degrees.

All study, research, and paper-writing conducted to obtain a degree must be planned and carried out systematically over the specified duration; furthermore, each academic field has its own specific requirements. In addition to following these guidelines, work closely with your faculty advisor and take a planned approach to obtaining a degree from matriculation on.

Policy for a Degree in the Graduate School of Medicine, Science and Technology (Diploma Policy)

In accordance with its educational objectives and philosophy, the Graduate School of Medicine, Science and Technology awards the degree of Doctor of Science to those students who have fully cultivated the knowledge, abilities, and skills listed below and are well-suited for the diploma policy of their department.

1. The perspective necessary to discuss issues outside the student's area of specialty and to recognize the social significance of their own research topics.
2. The sound ethics necessary to develop science and technology as a high-level professional and researcher.

Policy for a Degree in the Department of Science and Technology (Diploma Policy)

In accordance with its educational objectives and those of the Graduate School of Medicine, Science and Technology, the Department of Science and Technology awards the degree of Doctor of Science to those students who have fully cultivated the knowledge and abilities listed below and are well-suited for the diploma in their field.

1. In-depth knowledge and excellent skills in their specialized area of science and technology.
2. The insight necessary to perceive the essence of issues in the field of science and technology and to discover solutions.
3. The capability to create innovative new techniques with regard to issues related to their specialized area of science and technology.

Policy for a Degree in the Department of Biomedical Engineering (Diploma Policy)

In accordance with its educational objectives and those of the Graduate School of Medicine, Science and Technology, the Department of Biomedical Engineering awards the degree of Doctor of Science to those students who have fully cultivated the knowledge and abilities listed below:

1. In-depth knowledge and excellent skills in their specialized area, combining medicine and technology.

2. The insight necessary to perceive the primary issues in areas combining medicine and technology and to discover solutions.
3. The capability create new ideas and techniques with regard to issues related to their specialized area of medicine and technology.

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I. Overview of the Dissertation Defense

Students conduct research and organize its content into papers. The completed papers are submitted to academic journals, and those accepted are considered original papers on which the doctoral dissertation is based. Based on these original papers, students write the doctoral dissertation, apply for a degree, undergo a defense, and if successful, receive their doctoral degree.

Doctoral dissertations are required by law to be published online. Please keep this in mind while writing the dissertation.

1. Degrees awarded

(1) Types of degrees

(Shinshu University Degree Regulations, Article 2-2)

- Course-based doctorates (Kou)

This degree is awarded to students who have matriculated in the Graduate School of Medicine, Science and Technology, conducted research under multiple faculty advisors, and submitted a doctoral dissertation while enrolled.

- Dissertation-based doctorates (Otsu)

This degree is awarded to students who have submitted a doctoral dissertation to the university, passed their doctoral defense, and have been recognized to possess academic ability at least equivalent to those completing the doctoral course in this graduate school.

This applies to students who have submitted their dissertations and received their degrees after leaving graduate school upon obtaining the required credits (withdrawal with credits).

(2) Names of specialized fields indicated in the diploma course

The field of the degree is determined by an inspection of the dissertation defense of the content studied and researched by the student and that of their dissertation. The names of the specialized fields indicated on the diploma for the doctoral degrees in each department are provided in the table below.

Department	Affiliated division	Degree awarded
Department of Science and Technology	Textile Technology Division	Doctor of Engineering; Doctor of Agriculture; Doctor of Philosophy
	Energy and Systems Engineering Division	Doctor of Engineering; Doctor of Philosophy
	Materials Science and Engineering Division	Doctor of Science; Doctor of Engineering; Doctor of Philosophy
	Mountain and Environmental Science Division	Doctor of Science; Doctor of Agriculture; Doctor of Philosophy
	Biological and Agricultural Sciences Division	Doctor of Agriculture; Doctor of Science; Doctor of Philosophy
	Mathematical and Social Systems Science Division	Doctor of Science; Doctor of Engineering; Doctor of Philosophy
Department of Biomedical	Biotechnology Division; Biomedical Engineering Division	Doctor of Medical Engineering

Engineering		
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2. Dissertation defense system and degree awarding process

The preliminary examination will be conducted by the faculty advisor and at least two other faculty members for a total of three or more members, constituting the preliminary examination committee.

For the final defense, a dissertation defense committee will be formed within the graduate school, comprising the committee chair (lead examiner) and at least three other committee members (assistant examiners) for a total of four or more members. The dissertation defense committee shall include at least one external member (assistant examiner), such as a researcher from a different university, and shall conduct a strict examination.

The conditions for completion of the course include the following: (1) acquisition of the required credits within the given period of enrollment; (2) acquisition of the knowledge, abilities, and skills regulated by the diploma policy of the graduate school and of each department and division in accordance with its purpose for human resource cultivation; and (3) passing the dissertation defense with the dissertation defense committee and the final exam. The graduate school committee will take the final decision on awarding degrees to students who have fulfilled these conditions.

3. Evaluation standards for the dissertation defense and final examination

The following examination standards are established by this department and course for the defense and final examination. Students must have published at least the requisite number of original papers on which the dissertation is based in academic journals.

Further standards for approval are established according to students' academic fields. Having confirmed these standards for approval, write your dissertation while checking in with your faculty advisor or equivalent.

“Shinshu University Graduate School of Medicine, Science and Technology (Doctoral Course)
Evaluation Standards for the Dissertation Defense and Final Examination”

[3-year Courses in the Department of Science and Technology and the Department of Biomedical
Engineering]

The doctoral dissertation must be submitted before the dissertation defense. Students who have obtained the required credits and submitted their dissertations will undergo the dissertation defense and final examination.

Standards for approval for the doctoral dissertation

Regulations for each department and division are listed below.

[3-year Courses in the Department of Science and Technology and the Department of Biomedical
Engineering]

1. The student has published or plans to publish (in press or accepted for publication), as the lead or main author, at least the requisite number of original papers on which the dissertation is based (below, “original papers”) in academic journals with established peer-review processes (the author contributing most of the content of the paper).

2. The “academic journals” referred to in the previous items are as defined below.

(1) Journals and publishing companies included in the latest editions of Journal Citation Reports, Scimago Journal & Country Rank, or J-STAGE or academic association journals issued by an academic research organization that cooperates with the Science Council of Japan

(2) Journals approved by the 3-year courses of the Department of Science and Technology and the Department of Biomedical Engineering

3. The details of the standards of approval are in accordance with the regulations of each division, unit, or course.

Evaluation standards for the final examination

The final examination is conducted as an open oral examination by the dissertation defense committee, which includes an external committee member, and the student is evaluated based on the following standards:

1. The student sufficiently understands and can clearly explain the purpose, methods, results, and discussion of their research.
2. The student is able to respond logically to questions on the content of their research.
3. The student is able to describe the future prospects for their research.
4. The student possesses cutting-edge knowledge of their field of research.
5. The student possesses basic knowledge of related fields of research.

4. Original papers

With regard to the original papers that are the basis of the dissertation, details such as number of papers required, lead author, etc., are handled differently by each department. In particular, consult with your faculty advisor on issues such as the following and plan your writing systematically.

- Are you recognized as the lead or main author?
- Is the academic journal to which you are submitting a predatory journal (as discussed below)?
- Will the schedule of submission and publication be in time for the dissertation defense? (Time is required for peer review for publication. This can be time-consuming depending on the journal.)
- Is the paper copyright transferred to the publishing house? What is the scope of the transfer of rights? Is it acceptable to use the published paper in your dissertation and to publish it online thereafter?

5. Precautions on journal submission of original papers

The standards for approval include regulations for the academic journals in which the original papers that form the basis of the dissertation are published.

Submission to inappropriate (“deceptive” or “predatory”) journals or international associations will not be recognized as counting toward the dissertation defense.

When selecting a journal for submission, confirm the following points to make sure it is in line with the regulations and consult with your faculty advisor.

- Journals and publishing companies included in the latest editions of Journal Citation Reports, Scimago Journal & Country Rank, or J-STAGE or academic association journals issued by an academic research organization that cooperates with the Science Council of Japan.
- No suspicious points such as extremely short peer-review time between submission and acceptance or advertising of easy acceptance.
- Confirmed reputation via an online search of the journal name. Use search terms such as “predatory journal” to ensure the journal is not on the list of predatory journals.

*Additionally, use of tools such as the Think. Check. Submit. website given below to check whether you are submitting to a reputable journal.

<https://thinkchecksubmit.org/journals/japanese/>

II. Application for the Dissertation Defense

Doctoral dissertation defenses are held twice a year, once in each term. When applying for the defense, the application procedure must take place within the period stipulated by the department. The application form is posted on the Shinshu University Graduate School of Medicine, Science and Technology website given below:

<https://www.shinshu-u.ac.jp/graduate/sogoiriko/students/degree.html>

The dissertation defense includes the preliminary examination and the dissertation defense (final examination) itself. Passing the preliminary examination is required to undergo the dissertation defense.

1. Schedule

An overview of the procedures concerning the doctoral dissertation defense is given below. The applicant will be informed of the schedule. Before the “Submission of dissertation and final examination

documents,” the applicant must have obtained all credits required for completion and met the dissertation defense standards of their affiliated division or unit.

Procedures (those marked with ○ are to be completed by the applicant)	March graduation	September graduation
○ Survey of intent for the doctoral dissertation defense concerning the awarding of doctorates	Early October	Early April
○ Submission of preliminary examination application documents, etc.	Early November	Early May
Examination by the preliminary examination committee or unit committee	Early November to late November	Early May to early June
○ Submission of dissertation and final examination documents	Early January	Early July
Examination by the dissertation defense committee	Mid-January to early February	Mid-July to early August
○ Dissertation defense presentation and final examination	Late January to early February	Late July to early August
Report of the examination results by the dissertation defense committee	Early February	Early August
Discussion by the Departmental Committee, etc.	Mid-February to early March	Late August to early September
Announcement of decision regarding awarding of degrees	Early March	Early September
○ Submission of doctoral dissertation, summary of defense results, etc.	Mid-March	Mid-September
○ Submission of application for registration in the institutional repository of doctoral dissertations	〃	〃
○ Awarding of degrees	Late March	Late September
○ Online publication	Within 1 year from awarding of degree	

*The schedule above is an overview. As it may vary depending on the academic year, please ensure that you confirm it with the university.

2. Where to submit application documents

Application documents are to be submitted to the Student Affairs Office of the faculty on the relevant campus.

- Matsumoto Campus: Faculty of Science
- Nagano-Engineering Campus: Faculty of Engineering
- Ina Campus: Faculty of Agriculture
- Ueda Campus: Faculty of Textile Science and Technology
- Nagano (Education) Campus: Student’s affiliated department or division

3. Application documents

Procedures	Documents	March graduation	September graduation
Submission of preliminary examination application documents, etc.	<ol style="list-style-type: none"> 1. Application for preliminary doctoral dissertation defense: Form #1 2. Draft of doctoral dissertation: Format as preferred 3. Draft of doctoral dissertation abstract: Form #2-1 4. List (form) and reprints of published papers: Form #3 5. Other reference papers 	Early November	Early May
Submission of dissertation and final examination documents	<ol style="list-style-type: none"> 1. Application for doctoral dissertation defense: Form #8-1 2. Doctoral dissertation 3. Doctoral dissertation abstract: Form #9 4. List (form) and reprints of published papers: Form #3 5. Curriculum vitae: Form #10-1 6. Pledge: Form #11 7. Other reference papers (only those indicated by the main faculty advisor as required for submission) 8. For co-authored papers already published (or to be published), letters of acknowledgement from all co-authors: Form #12 	Early January	Early July
Submission of documents after the degree awarding decision	<p>The applicant is to register the following documents as PDF files via eALPS.</p> <ol style="list-style-type: none"> 1. Doctoral dissertation 2. Dissertation abstract <p>The applicant is to submit the following documents to the relevant Graduate School office upon confirmation with the main faculty advisor.</p> <ul style="list-style-type: none"> • Application for registration in the doctoral dissertation institutional repository 	Mid-March	Mid-September

4. Basic doctoral dissertation format

The following is the basic format for doctoral dissertations at Shinshu University. When the regulations differ by department/division or academic association, that format may be followed as well. Please confirm the format with the faculty advisor upon writing.

- 1) Write in either English or Japanese.

If the body text is in Japanese, the title and cover are to be in Japanese as well.

If the body text is in English, the title and cover are to be in English as well, with a Japanese title appended to the English one.

2) Use a word processing software.

3) Print on white A4 paper in portrait orientation, left to right, and do not bind.

The number of copies to be submitted for examination is as directed by the faculty advisor.

4) The cover must include the title, name of the department, and name of the author.

5) For English titles, only the first word and any proper names should be capitalized, with others in lowercase.

6) The format is not otherwise specified; however, the format typical of each department and division should be used as standard, including figures, tables, and photographs. Please ensure to include an abstract.

7) Works cited should, as a rule, include the author's name (all authors in the case of co-authored works), title, academic journal name (or book title, editor name(s), publisher, publisher location, etc.), volume number, page numbers (first–last), and year of publication, in that order.

For precautions on citation, see the notes below as well.

8) The electronic version of the final dissertation submitted after passing the defense should be a PDF file.

The cover must include either “信州大学審査学位論文” or “Doctoral Dissertation (Shinshu University),” the title, received date of the degree awarding, and author's name.

*Regarding electronic PDFs, see IV-2 “Online publication of doctoral dissertations,” Section “*1 PDFs,” below.

*Doctoral dissertations that have received degrees from Shinshu University can be reviewed in the institutional repository. Use them as a reference when writing.

<https://soar-ir.repo.nii.ac.jp/>

III. Doctoral Dissertations and Copyright

When writing the doctoral dissertation, copyright issues, such as the citation of other papers, presence of co-authors, and transfer of rights to the publisher or academic association to which papers have been submitted (below, “publisher”), must be handled appropriately. Upon writing, for online publication as well as for the defense, please use appropriate citation methods, handle rights issues, and comply with laws and regulations.

Improper citations may be considered research fraud, including paper plagiarism and falsification, even if the author had no such intent. The author will be considered responsible for any copyright issues associated with the dissertation. Please be mindful that the doctoral dissertation demonstrates the abilities required of researchers: independent research within a framework of rules and ethical behavior.

These guidelines list points of particular concern. For general citation methods, refer to the practices and rules of each discipline.

1. Copyright of published papers

When writing the dissertation, other papers, books, data, and images may be used. When citing a study whose copyright is held by others, its citation and reproduction must be handled appropriately.

(1) Paper copyright

The copyright of academic papers may belong to the author or be transferred to the publisher. When the publisher holds the copyright, papers you have written and submitted are considered “works whose copyright is held by others” and require permission from the publisher to be reproduced.

As discussed in IV below, permission from the publisher is required to register the doctoral dissertation in the university institutional repository.

(2) Copyright confirmation

Regarding papers or books that you have written yourself, the contract with the publisher determines whether papers submitted to and published in academic journals or published as books may be reproduced and published in the doctoral dissertation. Copyright is handled differently by different journals, publishers, and associations. The same paper may be handled differently as the published version and postprint/author’s manuscript (for these points, see section IV).

When submitting a paper, confirm the journal’s or publisher’s regulations on submission and copyright as well as the contract on copyright permission and be sure to understand the rights issues involved. Many publishers and journals have posted their copyright regulations online.

We recommend confirming at least the following points when submitting to journals.

- Whether copyright is transferred to the publisher
- Scope of the transfer of rights
- Whether papers can be used in doctoral dissertations after publication in the academic journal
- Whether these dissertations can be published in the institutional repository
- When the submission guidelines do not clarify these points, confirm them with the publisher

*Regarding the use of papers in doctoral dissertations, most major publishers of English journals have a reproduction permission form available and will grant permission upon application with minimum conditions, such as clearly indicating the cited source.

For online publication of the dissertation through the institutional repository, see section IV, which indicates methods for checking whether institutional repository publication is permitted. Regarding the author’s manuscript, many publishers appear to permit registration in institutional repositories. Some place an embargo on registration for a given period of time after the article is published.

2. Citation and reproduction

When the dissertation uses a work whose copyright is held by others, handle its citation and reproduction appropriately.

1) Citation

Works may be cited without obtaining permission from the copyright holder. However, various conditions must be met: improper citation may constitute a copyright violation.

The Copyright Act regulates as follows.

“Article 32 It is permissible to quote and thereby exploit a work that has been made public. In such a case, the work must be quoted consistently with fair practices and within a scope that is justified for the purpose of news reporting, critique, study, or other place in which the work is quoted.”

The website of the Agency for Cultural Affairs interprets this article as below.

Precautions for citation

When incorporating the work of others in your own work, that is, when citing others’ works, the following general precautions must be observed:

- (1) Citing other works is essential.
- (2) Cited material should be distinguished from your own work with quotation marks, etc.
- (3) It must be clear that your own writing constitutes the main work, to which the cited material is subordinate.
- (4) The source must be clearly indicated. (Article 48)

- Agency for Cultural Affairs “Situations Permitting Free Use of Works” (accessed February 24, 2023) https://www.bunka.go.jp/seisaku/chosakuken/seidokaisetsu/gaiyo/chosakubutsu_jiyu.html

Citation methods may be regulated separately by academic journals, etc., or may follow the practices of each academic field. II.4.7) of these guidelines indicates the standard method of citing sources. Additionally, what the author considers “proper citation” may be considered by the copyright holder to require permission. Confirm with your faculty advisor whether proper citation is used.

(2) Reproduction

When citation is not applicable, to use others’ works in the dissertation, you must acquire permission from the copyright holder for reproduction of their works. Permission for reproduction enables free use within the scope permitted.

Applications for reproduction may be submitted through an email application letter or via a publisher’s or academic society’s online form. They may also take place through a copyright management organization. In some cases, a usage fee is required for reproduction. In addition, the reproduction scope may be restricted and limitations may be placed on online publication.

Because these decisions are made individually depending on the copyright holder and application content, please confirm the regulations, cite and reproduce others’ studies appropriately, and avoid plagiarism. Reference information on the permission procedure may be found below in section IV.

3. Agreement of co-authors

Papers used in the application for the doctoral degree require permission from the co-authors (joint researchers). Using the attachment item #12 “Letter of Acknowledgement,” obtain permission for the use of the relevant co-authored portions in the doctoral dissertation from all co-authors.

When the paper copyright is held by publishers, etc., reproduction is possible in terms of copyright by obtaining agreement from the publisher, but the permission of co-authors is also required from the perspectives of moral rights and research ethics.

IV. Online publication of doctoral dissertations

1. Publication of doctoral dissertations

Recipients of doctoral degrees are required by Japanese law to publish their dissertations online (Ministry of Education, Culture, Sports, Science and Technology Rules for Degrees).

Publication is via the institutional repository of the university awarding the degree; the Shinshu University institutional repository publishes the doctoral dissertation, doctoral dissertation abstract, and summary of the results of the dissertation defense.

<https://soar-ir.repo.nii.ac.jp/>

Review “Online publication of doctoral dissertations” and be sure to follow the procedures.

*The procedures differ from those for online publication of papers by the publishers to whom they are submitted.

2. Online publication of doctoral dissertations at Shinshu University

Online publication of doctoral dissertations at Shinshu University is handled as follows.

[Important points]

- Publication content: Doctoral dissertation, doctoral dissertation abstract, and summary of the results of the dissertation defense

- Publication method: Shinshu University institutional repository. (<https://soar-ir.repo.nii.ac.jp/>)

- Publication period: Within 1 year after the degree is awarded. Definition of exceptions in which publication is not possible and their handling.

- Submission method: Submit PDF file via eALPS.

Online publication of doctoral dissertations

Created July 9, 2013 Partially revised October 28, 2019
Partially revised July 8, 2020 Partially revised April 1, 2021
Partially revised April 1, 2023

Shinshu University

[Overview]

According to the revised Rules for Degrees (Ministry of Education Ordinance No. 9, 1953; Ordinance indicating partial revision, No. 5, 2013; issued March 11, 2013, enforced as of April 1, 2013), which requires, based on the promotion of digitization and open access, the online publication of the full text of doctoral dissertations, an abstract of their content, and a summary of the results of the defense, Shinshu University publishes these materials as follows:

1. Publication method of doctoral dissertation, doctoral dissertation abstract, and summary of the results of the dissertation defense

- Shinshu University institutional repository. (URL: <https://soar-ir.repo.nii.ac.jp/>)

2. Publication of doctoral dissertations

- All recipients of doctoral degrees must, as a rule, publish the full text of their dissertations within 1 year after the degree is awarded. This applies to dissertations published (or to be published) in academic journals before the degree is awarded as well.
- In cases where unavoidable circumstances prevent publication the full text within 1 year, a summary of its content (below, “dissertation summary”) may be published instead, to be replaced with the full text as and when that becomes available. The period of publication is as regulated by the Doctoral Dissertation Institutional Repository Registration Application (form).
The dissertation summary is to indicate the entire content, excluding content that cannot be published, in lieu of the publishable abstract.
- Approval of unavoidable circumstances preventing publication is through the relevant graduate school.

3. Unavoidable circumstances preventing publication

The basic circumstances are listed below:

- Cases where the doctoral dissertation cannot be published online due to reasons including the use of three-dimensional models.
- Cases where the doctoral dissertation cannot be published online for more than 1 year after the degree is awarded due to reasons of copyright or personal information protection
- Cases where online publication of the full text of the doctoral dissertation would clearly disadvantage the degree recipient with regard to publication elsewhere, publication in academic journals forbidding multiple publications, patent applications, etc., for more than 1 year after the degree is awarded.
- Other unavoidable circumstances recognized by the graduate school

4. Submission (see attached flowchart)

- All doctoral degree recipients are to submit the full text of their doctoral dissertations. When the full text cannot be published, a dissertation summary is to be submitted and the full text can be submitted later when possible.
- Submission is by electronic data, in principle in PDF*1 format.
- When online or digital submission is not possible, a printed version may be submitted.
- Data submission methods include eALPS, CDs, etc.
- Submit the Doctoral Dissertation Institutional Repository Registration Application (form) and indicate whether the full text can be published, the publication period, and copyright permissions.
- Submit to the specified location by the specified deadline for each Graduate School.

5. Cases where the doctoral dissertation has been published in full or in part in an academic journal, etc.

- With regard to registration in the institutional repository, the degree recipient is to confirm permissions, etc., with publishers.*2 Confirmation with the university library is also possible.

Contact: Shinshu University Library Information System Group

Email: library-soar2@shinshu-u.ac.jp

Use “Confirmation of permission for doctoral dissertation repository registration” as the subject line and include the bibliographic information for the paper in question (author, title, name, volume number, pages of the academic journal in which it was published, and year of publication).

[Cases in which publishers, etc., may impose conditions on repository registration]

When one or all of the following must be listed

(Sample of final page of text) “Additional information”

- DOI (Digital Object Identifier) link
- Bibliographic information for initial publication
- Copyright display (© publication year, copyright holder)

- Regarding the journal papers composing the doctoral dissertation, registration in the institutional repository consists of one of the following, having received permission from the issuing publisher, etc.:

(1) Publisher’s version*3 (reprint, copy of bound version, download as PDF file from electronic journal, etc.)

(2) Author’s manuscript*4

(3) Closest version to author’s manuscript in the degree recipient’s possession

(4) When permission cannot be obtained for any of (1) through (3), a dissertation summary is to be registered.

6. Submission periods for dissertation data from each Graduate School to the Library

• In consideration of the work required for registration to the institutional repository in the Library, the following periods are standard.

Doctoral dissertation

Doctoral dissertation abstract



Within two months after the degree is awarded

(For March degrees: by May 31 in the following academic

Summary of dissertation defense year;
results for September degrees: by November 30)

*1 PDFs

Specified as below by the National Diet Library.

For electronic data formats, PDFs (PDF/A (ISO 19005)) are recommended. In addition, for of long-term storage and accessibility, do not include references to external information (external fonts, etc.; use a file with embedded fonts) and do not encode the file, set a password, restrict printing, etc. (do not set passwords for file opening or printing).

(From the National Diet Library website: <https://www.ndl.go.jp/jp/collect/hakuron/>)

*2 Confirmation on the part of the degree recipient (examples)

Using the following websites, search by publisher name, academic society name, journal name, etc., for permissions regarding institutional repositories.

Sherpa Romeo (overseas publishers, etc.): <https://v2.sherpa.ac.uk/romeo>

Japan Consortium for Open Access Repository database (Japanese associations, etc.):

<https://jpcoar.repo.nii.ac.jp/page/133>

*3 Publisher's versions

Drafts edited and typeset for journal publication, etc., based on the author's manuscript. Because reprints, bound copies, downloads of PDFs from electronic journals, etc., are publisher's versions, they are almost never eligible for registration to institutional repositories.

*4 Author's manuscripts (postprints, etc.)

The author's final draft, after peer review, etc., as accepted for publication. Due to correction of typographical errors, etc., this draft may not be identical to the publisher's version,*3 but it is considered the closest in content.

Depending on the publisher, this version is often eligible for registration to institutional repositories. According to a survey of global publishers by the UK organization SHERPA, over 90% of journals permit authors to store and publish their papers on websites belonging to their affiliated institutions.

*A flowchart of the above procedures is available on the website below.

https://www.shinshu-u.ac.jp/graduate/sogoiriko/docs/b1_1_1_besshi.pdf

3. Submission of the dissertation via eALPS

Submit the dissertation data for publication via eALPS. The names of the submitted files should be as follows:

- Doctoral dissertation (full text): ronbun
- Doctoral dissertation abstract: yoshi
- Doctoral dissertation (summary): ronbun_yoyaku

*When submitting via eALPS, student names and numbers are automatically appended to the file name

to identify individuals.

To sum up the procedure, access the “Doctoral dissertation” section of the eALPS course and submit the file from the submission page. The file can be resubmitted during the submission period. For details, see the explanation with figures on the website below.

Graduate School of Medicine, Science and Technology website > Degree application > eALPS submission method for doctoral dissertation

<https://www.shinshu-u.ac.jp/graduate/sogoiriko/students/degree.html>

4. Assignment of DOIs

DOIs are assigned to doctoral dissertations registered in the institutional repository.

DOIs (Digital Object Identifiers)

- This unique ID is assigned to each information source (paper, etc.) online.
- While URLs are also online identifiers, they may change depending on server transfers, organizational mergers, etc. DOIs remain the same even in these cases and function as a framework enabling access to the same information sources. They are already in regular use for electronic journals.
- Based on the Rules for Degrees (Ministry of Education Ordinance #9, 1953) Articles 8 and 9, each university is required to publish its doctoral dissertations, and because permanent access via the same URL is desirable, each university assigns DOIs.

DOIs use the following format.

“10.50928/*****”

The “10.50928” part of the DOI is the specific number allocated to Shinshu University. The “*****” part is the unique number within the institutional repository. When registering a paper with the Shinshu University Library institutional repository, the paper is automatically numbered. A paper with the above DOI can be accessed with the following URL.

https://doi.org/10.50928/*****

The paper’s author can use this as the URL for their doctoral dissertation. The paper’s bibliographic information (including a summary when extant, but not including the full text) is made accessible through the system of the Japan Link Center (an organization managing DOIs).

[Appendix] Regulations on the Handling of Doctoral Degrees

All forms are available on the graduate school website.

<https://www.shinshu-u.ac.jp/graduate/sogoiriko/students/degree.html>

3-year Courses in the Shinshu University Graduate School of Medicine, Science and Technology Department of Science and Technology and Department of Biomedical Engineering:
Regulations on the Handling of Doctoral Degrees

Chapter 1 General Rules

(Purpose)

Article 1 With regard to the handling of doctoral degrees in the Shinshu University Graduate School of Medicine, Science and Technology 3-year courses in the Department of Science and Technology and Department of Biomedical Engineering (below, “Departments, etc.”), these Regulations determine matters not already regulated by the Shinshu University Graduate School Rules (Shinshu University Rules No. 2, 2004), Shinshu University Degree Regulations (Shinshu University Regulations No. 19, 2004) (below, “Degree Regulations”), and Shinshu University Graduate School of Medicine, Science and Technology Regulations (Shinshu University Regulations No. 289, 2018).

(Definitions)

Article 2 “Course applicant” in these regulations refers to a person applying for a doctoral dissertation defense as regulated by Article 5-1 of the Degree Regulations.

2 “Dissertation applicant” in these Regulations refers to a person applying for a doctoral degree as regulated by Article 5-2 of the Degree Regulations.

3 “Research advisor” in these Regulations refers to the research advisor as defined in Article 4-3-1 of the Shinshu University Graduate School of Medicine, Science and Technology Regulations for Faculty Advisor Selection in the 3-year Courses in the Department of Science and Technology and Department of Biomedical Engineering (below “Selection Regulations”).

4 “Assistant research advisor” in these Regulations refers to the assistant research advisor as defined in Article 4-3-2 of the Selection Regulations.

5 “Main faculty advisor” in these Regulations refers to a faculty member among the research advisors who is the primary person responsible for the course applicant.

6 “Assistant faculty advisor” in these Regulations refers to a faculty member among the research advisors who is the secondary person responsible for the course applicant.

Chapter 2 Awarding of degrees via course completion

(Qualifications for submission of the doctoral dissertation)

Article 3 Of students enrolled in the Departments, etc., those who may undergo the doctoral dissertation defense are those who have been enrolled in the Departments, etc., for at least 2 years, have obtained at least the required number of credits for graduation and have had their qualifications for application for the doctoral dissertation approved within the department via the preliminary examination. However, with regard to the enrollment period, those who have achieved “outstanding research results” must have been or expect to be enrolled for at least 1 year in the doctoral program (those who have completed a master’s program, including programs at other graduate schools, must have been or expect to be enrolled for at least 3 years, including up to 2 years in the master’s program).

(Departmental preliminary examination for dissertation acceptance)

Article 4 Students enrolled in the Departments, etc., who wish to apply for a doctoral dissertation defense must undergo a preliminary examination within the department (below, “preliminary examination”) before their application.

(Application for preliminary examination)

Article 5 Applicants for preliminary examination must apply via submission of the following documents through their main faculty advisor to the head of their affiliated division (below, “division head”).

1. Application for preliminary doctoral dissertation defense (attachment item 1) 1 copy
2. Draft of doctoral dissertation Copies as required
3. Draft of doctoral dissertation abstract (attachment item 2-1) Copies as required
4. List (attachment item 3) and reprints of published papers Copies as required

5. Other reference papers, etc. Copies as required

(Assignment of the preliminary examination)

Article 6 The division head will assign the preliminary examination of the dissertation for which a preliminary examination request has been made to the unit head or 3-year course head (below, “unit head, etc.”). The unit head, etc., will establish a preliminary examination committee, which will examine whether the dissertation is worthy of a degree examination, as well as discussing and providing guidance on the acceptance of the dissertation and the name of the specialized field to be added to the doctoral degree.

(Period of application for preliminary examination)

Article 7 The period of application for the preliminary examination noted in Article 5 is decided by each head of department, generally two months before the period of application.

(Preliminary examination committee)

Article 8 The preliminary examination committee is composed of the main faculty advisor and at least two other research advisors from the graduate school, selected by the main faculty advisor.

2 The preliminary examination committee members may also include assistant research advisors from the graduate school as well as faculty, etc., from other graduate schools or research institutions, as needed.

3 The preliminary examination committee will select a chair from among its members. At this time, the main faculty advisor may be selected as the committee chair.

(Report on the results of the preliminary examination)

Article 9 After the preliminary examination, the preliminary examination committee will submit to the unit head, etc., a report on the preliminary examination results (attachment item 4) and reports from each member of the committee on the preliminary examination results (attachment item 5) (below, “reports, etc., on the preliminary examination results”).

2 The unit head, etc., will discuss the preliminary examination results at a meeting of the unit (for the Department of Science and Technology) or the division of the 3-year course (for the 3-year course in the Department of Biomedical Engineering) (below, the “unit meeting, etc.”).

(Discussion at the Campus Doctoral Course Faculty Meeting)

Article 10 After approval, as in item 2 of the article above, the unit head, etc., will submit the reports, etc., on the preliminary examination results to the Campus Doctoral Course Faculty Meeting (below, “Doctoral Course Faculty Meeting”), as regulated in Article 18 of the Internal Regulations on Organizations such as Committees and Management of the Department of Science and Technology, Shinshu University Graduate School of Medicine, Science and Technology, and in Article 12 of the Internal Regulations on Organizations such as Committees and Management of the Department of Biomedical Engineering, Shinshu University Graduate School of Medicine, Science and Technology.

2 The Doctoral Course Faculty Meeting, having received the submitted reports, etc., on the preliminary examination results as in the previous item, will discuss whether the preliminary examination held on the relevant campus was conducted appropriately.

3 If the discussion in the previous item results in a judgment that the examination was conducted appropriately, the chair of the relevant campus’ Doctoral Course Faculty Meeting (below, “chair”) will report to that effect to the division head.

4 If the discussion in item 2 results in a judgment that the examination was not conducted appropriately, a report will be submitted to the relevant unit head, etc.

5 The unit head, etc., having received the report in the previous item, will notify the relevant preliminary examination committee that a reexamination is required.

(Notification of the results of the preliminary examination)

Article 11 The division head will notify the applicant of the preliminary examination results through the main faculty advisor.

(Selection of defense committee candidates)

Article 12 For each successful preliminary examinee, the chair of the preliminary examination committee will select doctoral dissertation defense committee candidates including at least three research advisors from the Graduate School and at least one faculty member, etc., from another graduate school or research institution, etc. (below, “faculty from other graduate

schools, etc.”), and will create a “List of Candidates for the Doctoral Dissertation (Kou) Defense Committee” (attachment item 6-1), which is to be submitted through the division head to the relevant Campus Doctoral Course Faculty Meeting. Note that the candidates for the doctoral dissertation defense committee may also include assistant research advisors from the Graduate School in addition to the above.

- 2 With regard to the selection of faculty from other graduate schools, etc., as in the previous item, the curricula vitae of doctoral dissertation defense committee candidates, including their research histories, are to be submitted as well (attachment item 7).
- 3 The Doctoral Course Faculty Meeting will discuss the doctoral dissertation defense committee candidates and, in case of any doubts, etc., will call on the preliminary examination committee chair for explanations.
- 4 Once the doctoral dissertation defense committee candidates have been approved as a result of the discussion in the previous item, the division head will submit the List of Candidates for the Doctoral Dissertation (Kou) Defense Committee (attachment item 6-1) to the department head.

(Submission of the doctoral dissertation)

Article 13 Based on the results of the preliminary examination as regulated in Article 6 and of the discussion as regulated in Article 10-2, when the dissertation can be accepted, the course applicant is, upon confirmation with the main faculty advisor, to submit the following documents (below, “degree application documents, etc.”) to the President via the Dean of the Graduate School.

1. Application for doctoral dissertation defense (attachment item 8-1) 1 copy
2. Copy of doctoral dissertation Copies as required
3. Doctoral dissertation abstract (attachment item 9) Copies as required
4. List of published papers (attachment item 3) Copies as required
5. Curriculum vitae (attachment item 10-1) Copies as required
6. Other reference papers, etc. Copies as required
7. Pledge (attachment item 11) 1 copy
8. Letter of Acknowledgement (attachment item 12) *Relevant applicants only 1 copy

(Period of application for the degree)

Article 14 Application for degree awarding is to take place while enrolled; the period for submission of degree application documents, etc., is either January or July as indicated.

(Defense committee)

Article 15 To examine the dissertation for which a degree application has been received, the dean of the graduate school will select defense committee members based on the department head’s recommendation of candidates.

- 2 Regarding the previous item, the department head will submit materials listing the course applicant, dissertation title, main faculty advisor, assistant faculty advisor(s), and defense committee candidates.
- 3 The defense committee shall select a committee chair, who will oversee the dissertation discussion and suggest the specialized field to be added to the doctoral degree, etc. The main faculty advisor may be selected as the committee chair.

(Public hearing)

Article 16 As part of the doctoral dissertation defense, a public hearing will be held, led by the defense committee chair.

- 2 The course applicant will present their dissertation at the public hearing.
- 3 The defense committee will determine the date of the public hearing, inform the course applicant, and conduct public notification of the hearing at least one week before its date.

(Doctoral dissertation defense, etc.)

Article 17 The defense committee will examine the doctoral dissertation, conduct the final defense, and discuss the specialized field to be added to the doctoral degree (below, “doctoral dissertation defense, etc.”).

- 2 The defense committee chair will notify the course applicant of all details pertaining to the final defense.
- 3 The final defense will be focused on the dissertation content and will involve an oral examination regarding related items.
- 4 Grading for the doctoral dissertation defense and final examination will take place separately and will be conducted on a pass/fail basis.
- 5 The defense committee will compile their opinions on whether to award the degree and conclude their examination of the doctoral dissertation.

(Report on the results of the doctoral dissertation defense, etc.)

Article 18 After the doctoral dissertation defense, etc., is finished, the defense committee chair will submit a report on the results of the doctoral dissertation and final examination (attachment item 13-1) and reports from each member of the defense committee on the results of the doctoral dissertation defense (attachment item 14) to the Doctoral Course Faculty Meeting.

- 2 The Doctoral Course Faculty Meeting will discuss whether the doctoral dissertation defense held on the relevant campus was conducted appropriately and will confirm the content of the doctoral dissertation defense reports, etc.
- 3 If the discussion and confirmation in the previous item results in a judgment that the examination was conducted appropriately, the chair of the relevant campus will report to that effect to the defense committee chair.
- 4 The defense committee chair, having received the report in the previous item, will submit the doctoral dissertation defense reports, etc., to the department head.
- 5 If the discussion and confirmation in item 2 results in a judgment that the examination was not conducted appropriately, the relevant chair will be asked to explain, and changes will be required to the submission and content of material such as reprints, etc.
- 6 If the discussion results in a judgment that the examination was not conducted appropriately, the relevant defense committee will be notified that a reexamination is required.

(Discussion and decision on the doctoral dissertation defense, etc.)

Article 19 The department head, having received the doctoral dissertation defense reports, etc., as in item 4 of the previous article, will convene the Department of Science and Technology Committee or the Department of Biomedical Engineering Committee, which will discuss and decide upon a passing or failing grade for the course applicant's doctoral dissertation defense, etc.

- 2 At the Committee mentioned in the previous item, the department head will submit discussion materials listing the course applicant, dissertation title, main and assistant faculty advisors, defense committee members, results of the dissertation defense, results of the final examination, name of the specialized field to be added to the doctoral degree, opinions on passing or failing the doctoral dissertation defense, etc.
- 3 When a decision is reached as in item 1, the department head will report to the dean of the graduate school.
- 4 Having received the report in the previous item, the dean of the graduate school will report on the results of the discussion of the doctoral dissertation defense, etc., to the University President.

(Awarding of degrees, etc.)

Article 20 Having received the report in item 4 of the previous article, the President will award the degree of Doctor of Philosophy, Doctor of Science, Doctor of Engineering, or Doctor of Agriculture (course applicants in the Department of Science and Technology) or Doctor of Medical Engineering (course applicants in the 3-year course of the Department of Biomedical Engineering) to the deserving applicants and will inform the applicants who will not be receiving the degrees.

- 2 The degrees in the previous item will be awarded either in March or September.

Chapter 3 Awarding of degrees via dissertation submission

(Qualifications for submission of the doctoral dissertation)

Article 21 As regulated in the Degree Regulations, Article 5-2, for those who have not undergone the doctoral course, the following constitute qualifications to submit a dissertation and apply for the degrees of Doctor of Philosophy, Doctor of Science, Doctor of Engineering, Doctor of Agriculture, or Doctor of Medical Engineering.

1. Enrollment in a graduate doctoral course for at least the required period, having withdrawn after obtaining the required credits.
 2. At least four years of research experience after receiving a master's degree.
 3. At least seven years of research experience after receiving a bachelor's degree.
 4. Other qualifications recognized by the Department, etc.
- 2 "Research experience" in Sections 2 and 3 of the previous item indicates the following:
1. Period engaged in research as a full-time instructor at a university or graduate school
 2. Period engaged in research as a research student at a university or graduate school
 3. Period enrolled as a graduate student
 4. Period engaged in research as a (full-time) researcher at a research institution, organization, corporation, etc.
 5. Other period recognized by the department, etc.

(Departmental preliminary examination for dissertation acceptance)

Article 22 Dissertation applicants must, before applying, undergo a preliminary examination of a draft of their doctoral dissertation (below, “preliminary examination”).

2 Dissertation applicants are to apply for a preliminary examination from a faculty research advisor (below, “advisor”) in a department with academic areas closely connected to the content of their doctoral dissertation draft.

(Submission of preliminary examination application, etc.)

Article 23 The advisor referred to in the previous article, having confirmed the relationship, etc., of the doctoral dissertation draft to their academic area, is to have the dissertation applicant submit the following documents in advance of their degree application.

1. Application for preliminary examination of doctoral dissertation draft (attachment item 15) 1 copy
 2. Draft of doctoral dissertation Copies as required
 3. Draft of doctoral dissertation abstract (attachment item 2-2) Copies as required
 4. List (attachment item 3) and reprints of published papers Copies as required
 5. Curriculum vitae (attachment item 10-2) Copies as required
 6. Other reference papers, etc. Copies as required
- 2 The advisor will submit the documents in the previous item to their affiliated division head.

(Period of application for preliminary examination)

Article 24 The dissertation applicant may submit the documents listed in the previous article at any time.

(Assignment of the preliminary examination)

Article 25 Upon application for a preliminary examination of the doctoral dissertation draft, the division head will assign the examination to a preliminary examination committee.

(Preliminary examination committee)

Article 26 The preliminary examination committee will be handled as in Article 8, with “main faculty advisor” replaced by “advisor.”

2 The preliminary examination will be conducted as in the regulations of Articles 6 and 8, within the advisor’s affiliated division (below, the “affiliated division”). Within the Department of Biomedical Engineering, the 3-year course of the relevant division will conduct the examination.

(Approval of qualifications for submission of the doctoral dissertation)

Article 27 When the preliminary examination committee determines that an examination of the dissertation application’s qualifications to submit the doctoral dissertation is required, they will have the dissertation applicant submit the following documents and, with the permission of the Division Meeting, will request the relevant department head to convene a doctoral dissertation submission qualification examination committee.

1. Diploma or certificate of completion from the last school attended 1 copy
2. Certificate of research content (attachment item 16) 1 copy
3. Other documents considered necessary 1 copy

(Doctoral dissertation submission qualification examination committee)

Article 28 To discuss the qualifications for submission of the doctoral dissertation as regulated in the previous article, the Department, etc., will establish a doctoral dissertation submission qualification examination committee.

2 The doctoral dissertation submission qualifications examination committee will be composed of the Department head and each division head (Department of Science and Technology) or of the heads of the Department of Science and Technology and Department of Biomedical Engineering 3-year courses and one research advisor from each division (Department of Biomedical Engineering).

3 The doctoral dissertation submission qualification examination committee will judge whether the dissertation applicant presented by the preliminary examination committee is qualified to submit the doctoral dissertation and will notify the chair of the preliminary examination committee through the department head.

(Report on the results of the preliminary examination)

Article 29 After the preliminary examination, the chair of the preliminary examination committee will submit to the unit head, etc., a report on the results of the preliminary examination of the doctoral dissertation draft (attachment item 17) and reports from each member of the committee on the preliminary examination results (attachment item 18) (below, “reports, etc., on the preliminary examination results”).

2 The unit head, etc., will discuss the preliminary examination results at the unit meeting, etc.

(Discussion at the Campus Doctoral Course Faculty Meeting)

Article 30 The unit head, etc., after approval as in item 2 of the previous article, will submit the reports, etc., on the preliminary examination results to the Doctoral Course Faculty Meeting.

2 The Doctoral Course Faculty Meeting, having received the submitted reports, etc., on the preliminary examination results as in the previous item, will discuss whether the preliminary examination held on the relevant campus was conducted appropriately.

3 If the discussion in the previous item results in a judgment that the examination was conducted appropriately, the chair of the relevant campus will report to that effect to the division head.

4 If the discussion in item 2 results in a judgment that the examination was not conducted appropriately, a report will be submitted to the relevant unit head, etc.

5 The unit head, etc., having received the report in the previous item, will notify the relevant preliminary examination committee that a reexamination is required.

(Notification of the results of the preliminary examination)

Article 31 The division head, etc., will notify the dissertation applicant of the preliminary examination results through the advisor.

(Selection of defense committee candidates)

Article 32 The regulations of Article 12 Items 1-4 apply. In this case, “attachment item 6-1” (Article 12, items 1 and 4) becomes “attachment item 6-2”.

(Submission of the doctoral dissertation)

Article 33 When the preliminary examination results as regulated in Article 22 allow for acceptance of the dissertation, the following documents, etc., are to be submitted, upon confirmation with the advisor, via the Dean of the Graduate School to the University President.

1. Application for doctoral dissertation defense (attachment item 8-2) 1 copy

(When applying within one year of withdrawal after obtaining credit, attachment item 8-3)

2. Copy of doctoral dissertation Copies as required

3. Doctoral dissertation abstract (attachment item 9) Copies as required

4. List of published papers (attachment item 3) Copies as required

5. Curriculum vitae (attachment item 10-2) Copies as required

6. Other reference papers, etc. Copies as required

7. Pledge (attachment item 11) 1 copy

8. Letter of Acknowledgement (attachment item 12) *Relevant applicants only 1 copy

9. Doctoral dissertation defense fee

(Period of application for the degree)

Article 34 The dissertation applicant is to submit their degree application in either January or July as determined.

(Defense committee)

Article 35 The regulations of Article 15 Items 1-3 apply.

(Public hearing)

Article 36 The regulations of Article 16 Items 1-3 apply.

(Doctoral dissertation defense, etc.)

Article 37 The defense committee will examine the doctoral dissertation, confirm the academic ability of the applicant, and discuss the name of the specialist field to be added to the doctoral degree (below, “dissertation applicant’s doctoral

dissertation defense, etc.”).

- 2 The defense committee chair will notify the dissertation applicant of all details pertinent to the confirmation of their academic ability.
- 3 The confirmation that the dissertation applicant possesses academic ability equivalent to those completing the doctoral course will take place as follows.
 1. Regarding the main courses in the affiliated division related to the dissertation content, an oral or written examination will take place to determine the applicant’s research capabilities.
 2. Regarding one foreign language, an oral or written examination will take place to determine whether the applicant has sufficient foreign language ability to conduct advanced academic research.
- 4 Scoring of the doctoral dissertation defense and confirmation of academic ability will take place separately and will be conducted on a pass/fail basis.
- 5 Academic ability will be evaluated as an overall judgment of items 3-1 and 2 of this article.
- 6 The defense committee will compile their opinions on whether the applicant has passed the dissertation defense and academic examination and conclude their examination of the dissertation applicant’s doctoral dissertation.

(Exemption from the confirmation of academic ability)

Article 38 When an applicant who was enrolled in the Departments, etc., for the required period of time and withdrew upon obtaining the required credits applies for a degree within three years of their withdrawal, regardless of the regulations of the previous article, they will be exempt from the examination indicated in the Degree Regulations Article 14-2.

(Applicability of the regulations on the awarding of degrees via course completion)

Article 39 With regard to the report on the results of the doctoral dissertation defense, etc., discussion, decision, and degree awarding, the regulations of Articles 18 to 20 apply. In this case, “attachment item 13-1” becomes “attachment item 13-2” (Article 18-1), and the discussion materials regulated in Article 19-2 consist of a list of the dissertation applicant, dissertation title, highest academic degree and current employment, affiliated division and advisor, defense committee members, and opinions on the results of the dissertation defense and the confirmation of academic ability.

Chapter 4 Miscellaneous Rules

(Publication of the doctoral dissertation)

Article 40 Based on the Degree Regulations Articles 18 and 19, upon the awarding of the doctoral degree, the relevant doctoral dissertation, doctoral dissertation abstract, and summary of doctoral dissertation defense results are to be registered with the Shinshu University institutional repository and published.

Additional Rules

These Regulations are in force as of April 1, 2018.

(omitted)

Additional Rules

These Regulations are in force as of October 1, 2022.

*The following reference material was used for the creation of these Guidelines, in addition to various Shinshu University regulations and guides.

Academic Information Team, Information Technology Group, Information Systems Department, University of Tokyo (Digital Library Section), *Guide for Doctorate Theses and Copyrights Version 3.2*, January 18, 2016