

\*This document (Guidelines) is written in Japanese and English languages. If there is any conflict or inconsistency between the Japanese and English Versions, the Japanese shall be the governing and prevailing version.

## Application Guidelines for Doctoral Degree Conferral

Graduate School of Economics, Kyoto University

### I. Application Requirements

Those who satisfy the following are eligible to apply for doctoral degree conferral.

- 1) Students who obtained or are expected to obtain the *Doctoral Study Accreditation (Research Guidance Approval)* after three years of study, and are currently enrolled or have withdrawn from the university within the past three years
- 2) Students who have been approved by the Curriculum Committee based on their Dissertation Supervisory Committee's certification of ones eligibility to submit the Dissertation after they applied by for *Eligibility to Submit Doctoral Dissertation* and submit the related documents.
- 3) The word count is generally limited to **60,000 words for English** and 120,000 characters for Japanese. No university regulations apply to the font, font size, line spacing, or reference style. For your reference, you may consult your supervisor or view previous doctoral dissertations at the Economics Library.

### II. Application Documents and their Submission

#### 1. List of Application Documents

<b>Doctoral Program</b>	
1. <i>Request for Dissertation Review</i> (Form I)	1 copy
2. <i>Doctoral Dissertation</i> (ex: Form III)	5 sets
3. <i>Contents of Dissertation</i> (Form IV)	3 copies & Digital data
4. <i>Curriculum Vitae</i> (Form V)	3 copies & Digital data
5. <i>Abstract</i> (A4 sheet)	1 copy & Digital data
6. <i>Pre-Doctoral Certificate (Academic and Research Guidance Certificate)</i> ※issued by Student Affairs Office	
7. <i>Co-author's Written Consent</i> (Form VIII: Only for those to whom applicable)	
8. <i>Form of Publication concerning the Doctoral Dissertation</i> (Form 2) (1 printed copy & Digital data)	
9. Digital data of the <i>Complete Doctoral Dissertation</i>	
10. Digital data of the doctoral dissertation's summary for those choosing abstract publication	
11. Confirmation of Plagiarism of the Doctoral Dissertation	
12. Request for the Issuance of Diploma in English	

※Those who are currently enrolled at the Graduate School of Economics are to submit the application documents only upon their confirmation of the complete payment of their tuition fees.

※5. *Abstract* will be used for the announcement of the public defense of the doctoral dissertation. Please make sure it does not exceed one page.

※8 Refer to “8. Important Points in Creating the Electronic Files” before submitting electronic files saved on a USB memory.

※Make sure **all dissertation title and your name on your documents are spelled the same** (use of upper and lower case letters, order of surname and given name).

## 2. On Submitting the Application Documents for Doctoral Degree Conferral

Students are able to apply for Doctoral Degree Conferral only after they have been approved by the Curriculum Committee. This approval comes after the student’s Dissertation Supervisory Committee has granted certification students need to submit the Dissertation. In order to get this certification students related documents to their Dissertation Supervisory Committee.

Students who are currently enrolled in the doctoral programme must confirm the complete payment of their tuition fees before submitting their application.

※The following are the important pointers when submitting a provisional doctoral dissertation and the Application for *Eligibility to Submit Doctoral Dissertation*. The application form can be downloaded from the homepage or KULASIS of the Graduate School of Economics. English instruction is available at the Staff Affairs Office.

1) At the time of their entrance to the doctoral programme, students will be assigned a Dissertation Supervisory Committee composed of two faculty members (one of them is the student’s Research Supervisor) and they will be supervised by this Committee.

2) Third-year students who will be obtaining *Doctoral Study Accreditation* must apply for *Eligibility to Submit Doctoral Dissertation* to the Dissertation Supervisory Committee and obtain a *Certificate of Eligibility to Submit Doctoral Dissertation* either in August of the second-year or in February of the third-year of their study.

Those who have withdrawn from the programme after obtaining *Doctoral Study Accreditation* may submit the application documents to the Dissertation Supervisory Committee at any time.

Students can confirm with their research supervisors or the Student Affairs Office about their Certificate of Eligibility to Submit Doctoral Dissertation.

## III. Important Matters on Preparing the Application Documents

### 1. Request for Dissertation Review

Use Form I for the *Request for Dissertation Review*.

## 2. *Doctoral Dissertation*

The Doctoral Dissertation has to be submitted as shown in Form III ( Kurumi seihon くるみ製本). Do not use the Ring-file.

Make sure if there are no printing/data errors inside the booklet before submission.

The following documents must be submitted in case the *Doctoral Dissertation* incorporates a joint paper or an article scheduled for publication.

(1) For an article scheduled for publication

A letter or a document from the publisher or editorial body confirming the scheduled publication

(2) For a joint paper

A letter or document (Form VIII: *Co-author's Written Consent*) from each of the co-authors expressing i) Consent to use the concerned article as part of the applicant's *Doctoral Dissertation*, and ii) Recognition of the applicant's indispensable contribution in the article's writing or research

## 3. *Contents of Dissertation and Curriculum Vitae (3 copies each)*

The following are the important pointers in preparing the *Contents of Dissertation* (Form IV) and *Curriculum Vitae* (Form V).

1. The formats to be used are those determined according to the provisions of Kyoto University regarding degree conferral.
2. The paper has to be white of medium or high quality. It is of A4 size as defined according to Japan Industrial Standards.
3. The documents have to be produced for permanent storage. For their production, a pen or ballpoint pen (black or blue), or a word processing or typewriting equipment must be used.
4. The print has to be legible, clear and accurate. Documents with conspicuous corrections should be discarded. New ones should be made in lieu of these.
5. The documents must be made with a margin of 2 cm on the left using the given formats.
6. The name has to be printed using a word processing or similar equipment, or if not, it must be handwritten. It is not necessary for the seal to be affixed. In case a character is not available in the word processor or in other similar equipment, the character must be handwritten in block letters.
7. The date has to be written according to the actual date of submission to the Student Affairs Office.

## (1) Contents of Dissertations

- The Contents of Dissertations is to be filed on the left, and hence it has to be written from left to right.
- The following have to be listed and have to be written accordingly.

## 【For Japanese Publications】

For Japanese publications, the corresponding English translation has to be added.

## ① Books and Monographs

『書名』(シリーズ名)、出版社、出版年(原則として西暦)、ページ数。Book Title or Monograph Article Title, Place of Publication, Publication, Date of Publication, Number of Pages.

(例)『アグリビジネスと遺伝子組換え作物:政治経済学アプローチ』、日本経済論社、2002年、370ページ。Agribusiness and Transgenic Crops, Tokyo, Nihon Keizai Hyouronsha, 370 p.

## ② Articles (compiled as part of a Series, Collected Papers, and similar compilations)

「論文名」(編著『書名』、出版社、出版年)、ページ。「Title」(Editor『Book Name』、Publisher, Date of Publication)

(例)「本来の貨幣と未来の貨幣」(山口重克編)『市場システムの理論—市場と市場』お茶の水書房、1992年) 100—138ページ。

## ③ Journal Articles

「論文名」『雑誌名』巻号、年月、ページ。「Title of Article」『Name of Journal』Volume Number, Month and Year, Page Numbers.

(例)「米国の凋落と複数基軸通貨制度の可能性」『経済論叢』第160巻第3号1997年9月、1—15ページ。

## 【Publications in languages other than Japanese】

The book title and the name of the journal have to be in italics. Except for German or Russian publications, the page number is expressed as “p.” Multiple pages are expressed as “pp.” For German publications, “S. (in capital letter)” is used to express both single page and multiple pages. There is no need to use “SS.” to express multiple pages. Similarly for Russian publications, “ctp.” is used to express single page and multiple pages.

## ① Book and Monograph

Title, Place of Publication, Publisher, Year of Publication, Number of Pages.

Example: Financial & Managerial Accounting, Cincinnati, South-Western Pub. Co., 1997, 25 , pp.

## ② Article (included work in a collection of articles and essays)

“Article Title” in Book Title ed. by Editor’s Name, Place of Publication, Publisher, Year of Publication, Page Numbers.

Example: “Monopoly and Antitrust Policies in Network-Based Markets such as Electricity” in The Virtual Utility: Accounting, Technology & Competitive Aspects of the Emerging Industry. ed. by Awerbuch S., A. Preston, Boston. Kluwer Academic Pub., 1997, pp. 128-164

③ Journal Article

Author, "Article Title," Journal Name, Volume, Number, Month and Year, Page Numbers.

Example: Kluwer, Peter, " Neuere Entwicklungen der Konjunkturtheorien "

Allgemeines

Statistische Archiv, Bd. 82, Heft 1, Jan. / März 1998, S.26-28

1) Title

- ① The titles (including the sub-title) have to be consistent with the submitted articles.
- ② The title has to be supplemented with the corresponding Japanese translation. The Japanese translation is to be written inside parentheses.
- ③ The title of the *Doctoral Dissertation* has to be made consistent with the title in the *Contents of Dissertation*.

2) Publication Details

- ① Publication refers to the printed form such as books or academic journals.
  - ② Publication is understood to be an academic resource that is stored in an academic institution (such as in a university) and is accessible whenever necessary.
  - ③ As a principle, the dissertation has to be published completely.
  - ④ Regarding the medium and the period, the title, page numbers, corresponding date, and etc. have to be specified.
  - ⑤ In case an article in the dissertation is unpublished, the following has to be specified regarding the medium and period of expected publication.
    - 1) "Newly written" has to be specified regarding those articles not yet submitted and those submitted but are currently under consideration for publication.
    - 2) "To be published" has to be specified for those articles that have not yet been published but have been accepted for publication.
  - ⑥ It is necessary to specify whether a published article has been corrected or revised.
- ✖The *Doctoral Dissertation* has to have at least one published article.**

3) Number of Volumes

"1" is to be written for one volume of the *Doctoral Dissertation*.

4) Reference Papers (Other Dissertation which is referred for a Main dissertation)

- ① The medium, period and number of volumes of publication have to be written in the same manner as with the format in writing the details of the main dissertation.
- ② It is necessary to enumerate if there are two or more types of reference papers.
- ③ It is necessary to write "None" in case no reference paper is submitted.
- ④ For joint papers, the applicant has to obtain letters of consent from the co-authors for submission.

## (2) Curriculum Vitae

### 1) Country of Citizenship

Japanese applicants are to write the prefectures of their family registers only. International applicants are to write their countries of citizenship.

### 2) Present Address

The address has to be written accurately since this is to be used to send the information on the degree conferral, etc. In case the applicant has outstanding plans to leave Japan soon and live overseas for an extended period of time, the booked address overseas has to be specified. (In case the applicant has a contact address in Japan, the applicant has to report this information when submitting his or her application.)

In case the applicant changes address after his or her application, he or she has to promptly submit the corrected document.

### 3) Name

Japanese applicants have to write the name according to what is written on their family registers. Assumed names are not acceptable. Those who wish to have their previous name (e.g. maiden name) to appear on the diploma would have to go through a separate procedure.

International applicants have to write their names accurately in Roman alphabet. The Furigana part has to be written in Katakana.

In case the applicant's name changed after graduation, he or she has to submit the *Form to Change Name* to the Student Affairs Office.

### 4) Education

Japanese students have to specify the information from high school in the case that they went through the new system of education in Japan. They have to specify the information from middle high school in case they went through the old system in Japan.

International applicants have to specify in chronological order the information from high school onwards.

The student has to confirm the date of graduation or completion from his or her diploma or alma mater. Those who graduated from another university are simply to write "graduated." Those who graduated from Kyoto university and who entered the program before April 1976 have to write "obtained *Doctoral Study Accreditation* for the doctoral programme." Those who entered the program at a date after April 1977 and onwards have to write "obtained *Doctoral Study Accreditation* for the doctoral programme"

in case if it is so. Those who have not obtained the *Doctoral Study Accreditation* have to write "Expecting an issuance of *Doctoral Study Accreditation*."

### 5) Work Experience

Students have to specify their full-time employment experiences in chronological order with the following details: name of the firm or institution, official name of the position, and the period of employment. Students should also include their non-full-time work experiences especially if they are connected to their education and research activities. For ongoing employment, students have to specify "up to the present."

#### 6) Research Experience

Students have to specify their research experience (in chronological order) which may be of relevance to their application for doctoral degree conferral.

- (1) Those activities on specific research themes including joint research activities
- (2) Those activities involving research training
- (3) Those activities involving scientific investigation
- (4) Those activities involving research publication (authorship of books, articles, and others)
- (5) Those activities with research funding
- (6) Other activities related to thesis examination

Those activities that are more appropriate to be specified under educational background or work experience should not be written under this section. The items specified here should not overlap with those in other sections.

#### 6) Work Experience

Only full-time employment has to be specified under this section. The applicant has to specify in chronological order the employment details: the name of the employing firm or institution, the official name of position, and the period of employment. It is also advisable for the applicant to include those work experiences especially connected to education and research even if they are not full-time employment. For ongoing employment, the applicant has to specify “up to the present.”

#### 7) Others

The applicant has to write “None” or “N/A” if he or she has nothing in particular regarding work experience, awards and penalizations, and research experience.

### 4. Abstract

The applicant has to submit an abstract written in 1 sheet of A4 to be used for the public announcement of the thesis examination.

### 5. Regarding the *Pre-Doctoral Certificate*

The applicant has to submit the application documents with the *Pre-Doctoral Certificate (Academic and Research Guidance Certificate)*. Third-year doctoral students who have already obtained the approval of the “expected issuance of the Academic and Research Guidance Certificate” are not required to submit this certificate as they are only about to receive this.

※The certificate is to be obtained by completing the given required procedures at the Student Affairs Office. Please fill in an application form for an “Expected Pre-doctoral Certificate” at the Student Affairs Office.

## **6. Regarding the *Form of Publication concerning the Doctoral Dissertation (Form 2)***

The applicant has to submit the Form of Publication concerning the Doctoral Dissertation (using Form 2) in print and digital data. Furthermore, the applicant has to create the digital data after verifying section “8. Important Points in Creating the Digital Data.” Submit this with USB memory.

## **7. Regarding the Digital Data of the *Complete Doctoral Dissertation***

The applicant has to create the following digital data after verifying section “8. Important Points in Creating the Digital Data.” Submit this with USB memory.

- [For All Applicants] *Complete Doctoral Dissertation*

- [For those not agreeing to publish the *Complete Doctoral Dissertation*] Summary

Note: The language for the summary has to be either in English (around 1,000 words) or in Japanese (around 2,000 characters).

## **8. Important Points in Creating the Digital Data**

### **A. Complete Data of the Doctoral Dissertation**

1) File Format: PDF

Suggested Software: Adobe Acrobat

PDF Version: PDF/A (ISO-19005)

Font Embedding: All Fonts

Security Set-up: No Security Set-up

File Size: Not more than 100 MB for each file (submission of more than 1 file is allowed)

#### **① Font Embedding**

The applicant has to set-up the properties such that all the fonts are embedded. (Creation of PDF files without embedding all the fonts can cause for some letters to be dropped from the file.)

It is possible that the embedded text in the PDF file is not the same as what appears or becomes garbled. This may be detrimental to the author or to other users (e.g. when the doctoral dissertation is not appearing as it should be in the repository’s full-text search). Accordingly, the applicant has to confirm and be certain about font embedding. (It is possible to confirm the embedded text data by copying and pasting the text of the PDF file.)

#### **② Security Set-up**

The applicant should not encrypt, set-up password, nor restrict printing.

#### **③ File Size**

The applicant has to make the file size to be not more than 100 MB for each file.

The file size of the *Doctoral Dissertation* can become too large if it has many pictures, figures or tables. When this happens, the applicant can deal with this by the “File size reduction” property in the PDF’s file set-up. If the file size still exceeds 100 MB, the

student can make multiple files each with not more than 100 MB. The corresponding number in sequence has to be added in each of the file names.

In case the file size is not more than 100 MB, the applicant has to submit the document as one file unless there is a special reason not to do so.

## 2) File Name

The applicant has to make the file name in Japanese as follows.

「課・○○○○・全文.pdf」  
 | | | |      |      └固定文字(Fixed Character)  
 | | |        └全角「・」(Double-byte Character)  
 | |         └Name (ABCで同一。In KANJI or Alphabet )  
 |         └全角「・」(Double-byte Character)  
 └課程博士の場合は「課」

3) Applicants, who only have their *Doctoral Dissertation* in printed medium, have to notify the Student Affairs Office about this during submission.

## B. Regarding the Medium of the *Doctoral Dissertation's* Publication

1) The applicant has to discuss with his or her academic supervisor (or a member of the thesis examining committee) on the timing of the publication, as well as, whether the Summary is made public or the *Complete Doctoral Dissertation*.

2) In case the *Complete Doctoral Dissertation* is to be made public, the applicant has to verify whether there are copyright or other issues on its publication. The applicant has to pay enough attention on this.

3) The applicant has to submit the digital data. (In submitting the digital data, there is no need for confirmation by the academic supervisor [or thesis examining committee member]). Along with this, the applicant has to submit the document in printed medium (confirmed by the academic supervisor [or thesis examining committee member]).

## 4) File Name

The file name has to be in Japanese as follows.

「課・○○○○・公表.xls(x)」  
 | | | |      |      └固定文字(Fixed Character)  
 | | |        └全角「・」(Double-byte Character)  
 | |         └Name (In KANJI or Alphabet )  
 |         └全角「・」(Double-byte Character)  
 └課程博士の場合は「課」

C. Data of the Summary ← ※ This document is required only for those choosing summary publication in B.

1) The format specifications are the same as in A.

2) File Name

The file name has to be in Japanese as follows.

「課・○○○○・要約.pdf」  
 | | | | | ↳固定文字(Fixed Character)  
 | | | | | ↳全角「・」(Double-byte Character)  
 | | | ↳Name (In KANJI or Alphabet )  
 | | ↳全角「・」(Double-byte Character)  
 ↳課程博士の場合は「課」

The following is a summary of the documents for submission.

A. Data of the *Complete Doctoral Dissertation* (PDF file)

B. “Form 2: “Form of Publication concerning the Doctoral Dissertation” (printed copy and excel file of the filled-up form)

C. Data of the Summary (PDF file)

※The submission of C is required only to those making public their summary.

## IV. Doctoral Diploma

### 1. Name in the Doctoral Diploma

The following is acceptable for the name to be used in the Doctoral Diploma (simply “Diploma” below) provided that *Request for the Issuance of Diploma in English* (Form 14-2) is submitted.

- 1) If the applicant requests, his or her former name can appear on the diploma.
- 2) For Japanese, the name in the family register, previous name, or both can appear as the name on the diploma. For international students, the name in the passport, previous name, or both can appear on the diploma. When both names appear, the previous name is written inside parentheses.
- 3) The case as explained in 2) is adopted regarding the name that would appear on the *Certificate of Degree Conferral*.
- 4) It is the applicant’s personal responsibility to prove that the former name on the diploma and the name in the family register such as the one appearing on other documents issued by the university (excluding 3) refer to one and the same person.

### 2. Diploma in English

Those wishing to have a Diploma in English have to submit in advance the *Request for the Issuance of Diploma in English* (Form 4-2).

## V. Doctoral Dissertation Examination (open to the public) and Degree Conferral

○ **Doctoral Dissertation Examination** (open to the public)

The information on the date and time, and place is to be made public for more than a week before the scheduled doctoral dissertation examination. Simultaneously, the *Abstract* is to appear on the homepage of the Graduate School of Economics.

○ **Degree Conferral**

After the completion of the Doctoral Dissertation Examination, a report is made in a meeting of the Graduate School of Economics, and discussions are made whether to approve the degree conferral to an applicant or not.

In principle, the degree conferral is held on the 23<sup>rd</sup> day of the odd months (and if the day happens to fall on a Saturday, a Sunday, a Holiday or a Non-Working Day, then it is made on the working-day immediately after). The degree conferral ceremony is held on March or September.