

Guidelines for Doctoral Dissertation Submission

In order to be awarded a doctoral degree, you are required to comply with the following detailed instructions concerning the regulations of submission and publication of a doctoral dissertation. Please ensure that you carefully read and understand these guidelines, as well as check and use latest version of the forms available on the SUMS website.

1. Check points before application submission

(1) Qualifications

The applicant must be enrolled in the final year of a doctoral course, have completed the required number of credits, and have received necessary instructions for his/her research.

(2) Type of Dissertation

- ① In principle, only one paper in which the applicant is the single author should be submitted, however, it is possible to attach his/her other papers as references.
- ② If the paper is co-authored, the following conditions must be met.
 - a. An applicant must be the first author of the paper.
 - i. All co-authors must give their consent for the applicant to use the paper as his/her dissertation for a doctoral degree.
 - u. All co-authors must give assurance that this paper will not be used as a dissertation for their own future doctoral degrees.
 - e. To assess the applicant's central role in the research, he/she must prepare a report (written in Japanese) that provides details of each author's contributions in the process of making the paper. If the number of authors is more than four (including the applicant), the reason(s) for the large number of co-authors must also be mentioned. (See attached examples)

(3) Publication of Dissertation

- ① In principal, a doctoral dissertation must have been published in a domestic or an international authoritative academic journal, which is defined as a journal that is included in the Journal Citation Report (JCR) and has an impact factor of 1.0 or higher at the time of submission.
- ② With a letter of acceptance for publication by an editorial board of a domestic or an international authoritative academic journal, the unpublished paper may be qualified for Doctoral Dissertation Review.
- ③ An unpublished paper due to unavoidable circumstances may be approved for Doctoral Dissertation Review, however, it must be published within one year after being awarded a doctoral degree.
- ④ **With regard to the unpublished doctoral dissertation mentioned above in ② and ③, once that is published, two original sets of the dissertation must be submitted to Student Division immediately.**

2. Application Procedures for Doctoral Dissertation Review

(1) Application procedures

① Application period

First Period: Weekdays, June 1st- June 20th, until 17:00 (**Please note that if the deadline is on a weekend or holiday, the office will be closed.**)

Second Period: Weekdays, December 1st- December 20th, until 17:00 (**Please note that if the deadline is on a weekend or holiday, the office will be closed.**)

② Where to submit

Documents including doctoral dissertation should be submitted to the Student Division, with the approval of the supervisor (a signature of him/her is required on the designated form.)

③ Required documents and the number of copies

- a. Title page (designated form 3 (1)) 6
- i. Application form for doctoral dissertation review 1
- u. Certificate of approval of the supervisor (designated form) 1
- e. Co-authors' consent forms, if the dissertation is co-authored (designated form) 1
- o. Curriculum Vitae (CV) (designated form) 1
- ka. A letter of acceptance for publication, if the dissertation is unpublished and scheduled for publication 1
- ki. Conflict of interest statement on the doctoral dissertation (designated form) 1
- ku. List of the papers (designated form) 6
- ke. Abstract of the dissertation (designated form) 6
- ko. Report detailing the roles and contributions of the individuals, if the dissertation co-authored . 6
- sa. Dissertation (with Title page specified in "a") 6
- si. Referential papers, if any 6
- su. Notification of review results from Ethical Review Committee, if applicable (copy) 1
- se. Certificate of approval of Animal Research Committee, if applicable (copy) 1
- so. Notification of review results from Animal life Science Research Ethics Committee, if applicable (copy) 1
- ta. Certificate of approval for genetically modified experimental design from Genetic Modification Safety Committee, if applicable (copy) 1
- ti. Other explanatory documents equivalent to "su"- "ta" if necessary 1
- tu. Check Sheet for submission 1

*** Please send the PDF files of all documents from "a" to "ti" by an email to the Graduate School Educational Affairs Unit, Student Division (hqgs@belle.shiga-med.ac.jp) after submission at the counter. (The PDF file names should be "a" through "ti", respectively.)**

(2) Notes on submission

- ① Bind all documents **from "a" to "ti" in order in a binder to make one full set.**
- ② For the rest, **bind "a", "ku", "ke", "ko", "sa", and "si" in order to make 5 sets** of them.
- ③ The 6 binders needed for ① and ② will be prepared and provided by the Student Division.
- ④ When submitting, bring them by yourself, because you may be asked to correct or modify the documents if there are any errors.

(3) Doctoral Dissertation Review and Lecture Presentation

Dissertations are examined by the Dissertation Review Committee established under the Graduate School Board, and the review process includes a lecture presentation. Therefore, the examinee should prepare for the lecture presentation.

(4) Final Examination

As a final doctoral examination, an oral or written test is given regarding the dissertation the related fields.

(5) Conferral of Degree

The results of the dissertation review by the Review Committee and the final examination are reported to the Graduate School Board, which decides on the approval of the completion of the doctoral course and the conferral of the degree, and then the President confers the degree on a scheduled date.

3. Formats of Dissertation and Referential papers

The following formats should be used for a doctoral dissertation and referential papers.

(1) Dissertation

- ① Title page (every copy of dissertation, even if printed and bound as a book, must have this title page affixed to it.)
 - a. The title should clearly indicate the subject of the dissertation. If it is written in Japanese, the title must be provided in Japanese. If it is written in a foreign language, it must be in the same foreign language (Japanese translation of the title should be provided under the original title, in parentheses.)
 - i. Abbreviations in titles should be avoided, except for generally used terms.
 - u. A subtitle may be added, however, it should be kept simple.
 - e. The author's name should be given in full, without titles. (The name should match that on the official register.)

Form of the title page

_ a
_____ b _____
_____ c _____ _____ d _____

- a) Write 学位論文 (doctoral dissertation) or 参考論文 (referential papers).
If there are two or more referential papers, add the number in accordance with the order in the list after "参考論文".
- b) Title
- c) Graduate School of Medicine, Shiga University of Medical Science
滋賀医科大学大学院医学系研究科医学専攻
- d) Applicant's name

② Text (if it is not printed)

- a. Use A4 size paper (approximately 21 X 30cm, portrait.)
- i. Give each page a page number.
- u. Printing should be on one side.
- e. Before submission, ensure that the dissertation is completed without errors, as it will be reviewed soon after being submitted.
- b. Since the submitted dissertation will not be returned to the applicant, it is recommended to keep an extra copy for yourself prior to submission.

(2) Referential papers

Supplemental papers in the related field may be added as referential papers. Forms and formats of the referential papers should be the same as that of a dissertation.

4. Notes on other required documents

(1) List of the papers (designated form)

- ① If the title of the paper is in a foreign language, a translation of the title (in Japanese) should be added in parentheses.
- ② If the doctoral dissertation or referential papers is scheduled to be published, it should be stated.
- ③ All papers attached to the doctoral dissertation should be listed as the “referential papers.”

(2) Curriculum Vitae (CV) (designated form)

- ① Full and complete name should be written as it is in official register. The name required on the last line must be your signature.
- ② Academic history should be listed in chronological order from the time you entered college to the present.
- ③ Please make sure that there are no spelling or date errors.

(3) Abstract (designated form)

- ① The abstract should be summarized in the following order of classification: Purpose, Methods, Results, Discussion, and Conclusions.
- ② An abstract should be about 1000 words in length (900 - 1100 words).
- ③ If the title of the paper is in a foreign language, the translation in Japanese should be added in parentheses.

(4) Certificate of approval by the supervisor (designated form)

A certificate of approval of the supervisor must be attached at the time of submission.

(5) Co-authors' consent forms (designated form)

If the doctoral dissertation is co-authored, the consent forms from all co-authors must be attached.

(6) A letter of acceptance for publication

If the doctoral dissertation is scheduled to be published, a letter of acceptance for publication must be attached.

Check Points on the Dissertation Review

- 1 Whether explain the background of the research
- 2 Whether explain the purpose of the research exactly
- 3 Whether understand the feature and limit of the method of the research
- 4 Whether explain and understand the research result sufficiently
- 5 Whether tidy the problem on various perspective on the conclusion appeared from research result. -
- 6 Whether understand the periphery territory of the research
- 7 Whether be to state the meaning of the research
- 8 Whether is it sufficient quantity of the knowledge about the research methods
- 9 Whether is it sufficient quantity of the knowledge about the major field of study
- 10 About the possibilities of the research in the future

Agreement on Dissertation Review for Completion of Doctoral Program

March 27, 1991

Decided by the Graduate School Board

June 8, 2016

Revised by the Graduate School Board

Regarding the handling of unpublished dissertations (SUMS Implementation outline of the examination on a doctoral dissertation 3-(3)-③), the following articles are agreed:

1. In case that an applicant cannot obtain a letter of acceptance for publication of the thesis for a doctorate by an editorial board of a domestic or an international authoritative journal, it is possible to request an extension of the period of application with the notification of receipt of the thesis.
2. The applicant who has requested the extension according to the above article 1 will be dismissed from Graduate School on September 30 or March 31.
2. After dismissing from Graduate School, the applicant who does not have any register at SUMS will be able to apply to the Visiting Assistant Professor.
3. Subcommittee of the Graduate School Board will examine and deliberate as to the applicant mentioned in the article 1. In case that he/she can obtain a letter of acceptance for publication by June 20 or December 20 of the next year, or in case that the thesis has published by June 20 or December 20 of the next year, the doctoral thesis might be accepted after the consideration of the Graduate School Board.
4. The period of the examination on the thesis accepted according to the above article 3 could be at most for one year since the date of dismissal from the Graduate School. It must not exceed one year.
5. If the applicant is approved to be award a doctoral degree after the examination mentioned above, the date of the decision of the approval is the date of the award of doctorate in diploma.

* This agreement is effective on April 1, 1991. However, it will not apply to the applicant who has already been in the final year of the doctoral course before this effective date.

* This revised agreement is effective on June 8, 2016.