

Section 4

**Graduate School of  
Asia Pacific Studies  
Doctoral Program**

**GSAD**

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## 4-1. Doctoral Degree Program: Educational Objectives, Policies and Structure

### Degree Program

The degree offered in the Graduate School of Asia Pacific Studies Doctoral Program is as follows:

Degree type	Major	Degree awarded on completion
Ph.D.	Asia Pacific Studies (APS)	Doctor of Philosophy in Asia Pacific Studies

### Educational Objectives in the Graduate School of Asia Pacific Studies, Doctoral Program

#### Graduate School of Asia Pacific Studies

The Graduate School of Asia Pacific Studies aims to cultivate human resources who will contribute to the sustainable development of and coexistence in the Asia Pacific region. These individuals will possess specialized knowledge in administration, environment and development economics and have practical problem-solving skills required for the development of the Asia Pacific region.

#### Doctoral Program in Asia Pacific Studies

The Doctoral Program in Asia Pacific Studies aims to cultivate advanced researchers and professionals who will contribute to the sustainable development of and coexistence in the Asia Pacific region and achieve an advanced capacity for pioneering new academic disciplines required for the development of the Asia Pacific region.

### Graduate School of Asia Pacific Studies, Doctoral Program Curriculum Policy

#### 1) Policy for Curriculum Structure

The Program offers common coursework on theories and perspectives of Asia Pacific Studies, upon which students receive research supervision based on their individual research topics in seminars. Students also write research papers and take coursework on presentations.

#### 2) Policy for Curriculum Implementation

After completing their coursework and seminars, students must pass the PhD candidacy process (which requires the completion of at least 24 credits and the submission of two research papers for screening) before submitting their doctoral dissertation. Degrees are awarded to those candidates who pass the dissertation screening.

### Graduate School of Asia Pacific Studies, Doctoral Program Diploma Policy (shortened version)

To accomplish the educational objectives stipulated in the University Regulations, the completion requirements along with the learning outcomes to be achieved by the time of completion have been defined for the Graduate School of Asia Pacific Studies, Doctoral Program below.

#### 1. Completion Requirements

To earn a degree students must enroll for the designated period, obtain the number of credits required for completion in accordance with the registration requirements established by the University, and successfully pass a dissertation screening.

In the Graduate School of Asia Pacific Studies' Doctoral Program, candidacy for a doctoral degree requires students to obtain 24 credits and successfully pass a doctoral candidacy screening; students who meet these requirements will become doctoral degree candidates and their application for a doctoral degree through the submission of a dissertation will be recognized. Students who obtain the 30 credits required for completion (the required 24 credits obtained for doctoral candidacy are included in these 30 credits) and who successfully pass the dissertation screening will have their completion and degree conferral recognized.

#### 2. Learning Outcomes

- Broad knowledge and understanding of the various issues facing the Asia Pacific region
- Advanced knowledge of discipline
- Ability to perform fundamental research
- Global perspectives

### Conferral / Non-Conferral of Degrees

The Higher Degrees Committee will review the results of the each student's Doctoral Dissertation screening. The results will be presented to the GSA Faculty Council for approval. Following approval by the GSA Faculty Council, the president will confer the Doctoral Degree to successful candidates.

### Rescindment of Degrees

If it is found that a graduate has obtained their degree through improper means, or if the recipient does anything to damage the University's reputation, the President may decide to rescind (cancel) a degree previously granted.

## 4-2. Course Requirements and Credit Registration Limits

### Basic Requirements for Completion

Students will be qualified for the degree upon completion of the following requirements:

1. **Period of Enrollment:** In principle, a student must be enrolled as a regular, full-time student in the Doctoral Program for 3 years. However, the degree may also be granted to outstanding students who have completed credit requirements in less than 3 years. In this case, the minimum period of full-time enrollment is 2 years. The period of enrollment (2 or 3 years) must be decided upon entry to the Doctoral Program.
2. **Credit Requirements:** Students must obtain 30 credits to complete the program.
3. **Doctoral Dissertation:** Doctoral students must complete a Doctoral Dissertation presenting the findings and conclusions of their individual research. The Doctoral Dissertation may be submitted once candidacy is achieved. The Doctoral Dissertation will be approved in accordance with the University's screening procedures. For further details of the screening procedures, see Section "4-5. Doctoral Dissertations".

### List of GSAD Subjects and Credits

Subject Category	Subjects	No. of Credits	Notes
Lecture Subjects	Perspectives on Asia Pacific Studies*	2 credits	Conducted by students' individual supervisors
	Theories for Asia Pacific Studies*	2 credits	
Seminar Subjects	Advanced Research on Asia Pacific Studies I*	2 credits	
	Advanced Research on Asia Pacific Studies II*	2 credits	
	Advanced Research on Asia Pacific Studies III*	2 credits	
	Advanced Research on Asia Pacific Studies IV*	2 credits	
	Advanced Research on Asia Pacific Studies V	2 credits	
	Advanced Research on Asia Pacific Studies VI	2 credits	
Presentations	Research Presentation*	2 credits	
Research Papers	Research Paper I*	4 credits	
	Research Paper II	4 credits	
Tutorials	Tutorial I*	2 credits	
	Tutorial II	2 credits	
	Total:	30 credits	

\*required for Candidacy (24 credits in total)

### Credit Limits

Doctoral students cannot register for more than the maximum credit limit each semester. Credit limits are as follows:

	Standard 3-year Completion	2-year Completion
	Credit Limit	Credit Limit
1st Semester	6	14
2nd Semester	10	14
3rd Semester	6	6
4th Semester	10	4
5th Semester	6	—
6th Semester	4	—

### 4-3. GSAD Subject Registration

All students must register for subjects following the schedules below in accordance with their semester of enrollment. Seminars (subjects conducted by students' supervisors) are designed to assist students in their individual research leading to the production and completion of a dissertation. These subjects also help students strengthen their research, and writing and presentation skills. Students will meet with their supervisor on an individual or small group basis and all meetings are scheduled individually between supervisors and students.

#### Spring Entry Registration Schedule

Standard 3-year Completion				Semester	2-year Completion			
(Perspectives on Asia Pacific Studies)	Advanced Research I	--	--	1st Semester	(Perspectives on Asia Pacific Studies)	Advanced Research I/II	Presentation	Research Paper I
(Theories for Asia Pacific Studies)	Advanced Research II	Research Paper I	--	2nd Semester	(Theories for Asia Pacific Studies)	Advanced Research III/IV	Tutorial I	Research Paper II
--	--	--	--	--	Students have completed 24 credits and now eligible to apply for candidacy.			
--	Advanced Research III	Presentation	--	3rd Semester	--	Advanced Research V	Tutorial II	--
--	Advanced Research IV	Tutorial I	Research Paper II	4th Semester	--	Advanced Research VI	--	--
Students have completed 24 credits and are now eligible to apply for candidacy.				--	Program Completion			
--	Advanced Research V	Tutorial II	--	5th Semester				
--	Advanced Research VI	--	--	6th Semester				

#### Fall Entry Registration Schedule

Standard 3-year Completion				Semester	2-year Completion			
(Theories for Asia Pacific Studies)	Advanced Research I	--	--	1st Semester	(Theories for Asia Pacific Studies)	Advanced Research I/II	Presentation	Research Paper I
(Perspectives on Asia Pacific Studies)	Advanced Research II	Research Paper I	--	2nd Semester	(Perspectives on Asia Pacific Studies)	Advanced Research III/IV	Tutorial I	Research Paper II
--	--	--	--	--	Students have completed 24 credits and now eligible to apply for candidacy.			
--	Advanced Research III	Presentation	--	3rd Semester	--	Advanced Research V	Tutorial II	--
--	Advanced Research IV	Tutorial I	Research Paper II	4th Semester	--	Advanced Research VI	--	--
Students have completed 24 credits and are now eligible to apply for candidacy.				--	Program Completion			
--	Advanced Research V	Tutorial II	--	5th Semester				
--	Advanced Research VI	--	--	6th Semester				

Subjects in ( ) indicate lecture subjects.

**Note:** "Advanced Research" is the shortened title of the subject "Advanced Research on Asia Pacific Studies".

## 4-4. Doctoral Candidacy (Registration for the Award of a Ph.D. Degree)

At APU, doctoral candidacy is defined as a recognition that students have been deemed ready to undertake independent research resulting in the writing of a dissertation. To become a candidate for a doctoral degree, students must submit two papers which are screened by the Dissertation Committee. Once students have achieved candidacy, they are registered as “candidates” for the award of a Ph.D. degree and then become eligible to submit their dissertations for screening after fulfilling the other completion requirements.

### Candidacy Submission Requirements

The requirements for applying for Doctoral Candidacy are as follows.

#### Acquisition of 24 credits

Applications for Doctoral Candidacy may be made after students have gained 24 credits for the subjects specified to be taken by the end of the 4th semester for standard 3-year completion students and by the end of the 2nd semester for 2-year completion students. (See the “List of GSAD Subjects and Credits” for details.)

#### Documents to Submit

1. Application for Candidacy – available on the Graduate School website
2. Soft copies of two research papers

Students may submit published or unpublished articles / papers written individually while enrolled in the Doctoral Program in place of Research Paper I and / or Research Paper II. Types of papers which are acceptable include 1) published journal articles, 2) conference papers, 3) draft chapters of the Doctoral Dissertation which include the literature review chapter and a revised research plan with appropriate methodology , 4) papers written as part of the classes Research Paper I and II.

3. Other documents

Applicants may be asked to produce other work to aid the Dissertation Committee in screening applications.

### Candidacy Submission Deadlines

- First Friday in July (for screening in the Spring Semester).
- First Friday in January after classes resume (for screening in the Fall Semester).

Please note that screening may take up to 2 months from the date of submission and screening will be delayed during the vacation months (February-March and August-September).

### Candidacy Screening and Results

Candidacy applications will be screened by the Dissertation Committee and students will be notified of the screening result.

Students who *pass* Doctoral Candidacy screening may continue working toward the submission of their dissertation and are eligible to submit their dissertation once it is ready and approved by their supervisor.

Students who *fail* screening should revise and resubmit their papers in accordance with the Dissertation Committee’s recommendations. Students should bear in mind that they cannot submit their dissertations until they have successfully achieved candidacy.

Please refer to the Graduate School website or visit the Academic Office for any questions regarding candidacy screening.

## 4-5. Doctoral Dissertations (Application for Conferral of the Doctoral Degree)

Doctoral dissertations are the final piece of work required to complete the Doctoral Program.

### Features of Doctoral Dissertations

1. Dissertations should be the result of original investigation and / or should embody a critical appraisal or analysis of a primary or secondary source.
2. Dissertations should be deemed a contribution to a body of knowledge and be worthy of publication.

### Dissertation Format

Information regarding dissertation format may be found on the Graduate School website. Please also see Clause 6 of the “Procedures for the Conferral of Doctoral Degree in the Graduate School of Asia Pacific Studies”.

### Submission of Doctoral Dissertations

Doctoral candidates may apply for Doctoral Dissertation screening after they have obtained candidacy and prepared the required documents. Required forms are available on the Graduate School website.

### Documents to Submit

- 1 soft copy of the completed dissertation
- 1 soft copy of an abstract of the dissertation
- 1 soft copy of the Dissertation Register
- 1 soft copy of the Curriculum Vitae (candidates may submit their CV in their format of choice)
- 1 hard or soft copy of the “Doctoral Dissertation Screening Application and Certificate of Authority” (signed by both the candidate and their supervisor)
- 1 hard or soft copy of the “Declaration Form Regarding Making My Doctoral Dissertation Available Online” (signed by both the candidate and supervisor)

### Doctoral Dissertation Submission Deadlines

The screening of dissertations usually takes approximately 6 months. Candidates who have gained candidacy and are expected to complete their final 30 credits in that semester may submit their dissertations for screening by the following deadlines:

- First Friday after the beginning of classes in April (for screening during the Spring Semester).
- First Friday after the beginning of classes in October (for screening during the Fall Semester).

### The Handling of Dissertations after Program Completion

Once candidates have successfully completed their oral defense they will be asked to submit the final version of their dissertation to the Academic Office for preservation. A hard copy of the dissertation will be printed and stored in the APU library. The soft copy will be uploaded to the APU Library / R-cube and the National Diet Library in accordance with the Japanese Ministry of Education, Culture, Sports, Science and Technology (MEXT) requirements that all doctoral dissertations to be made publicly available online.

Candidates are asked to submit a consent form confirming that they agree to make their dissertation available via the APU Library / R-Cube and the National Diet Library of Japan. If the candidate does not agree to immediate uploading, they can request a deferral of the date of making the dissertation publicly available online for up to 5 years (see the application form).

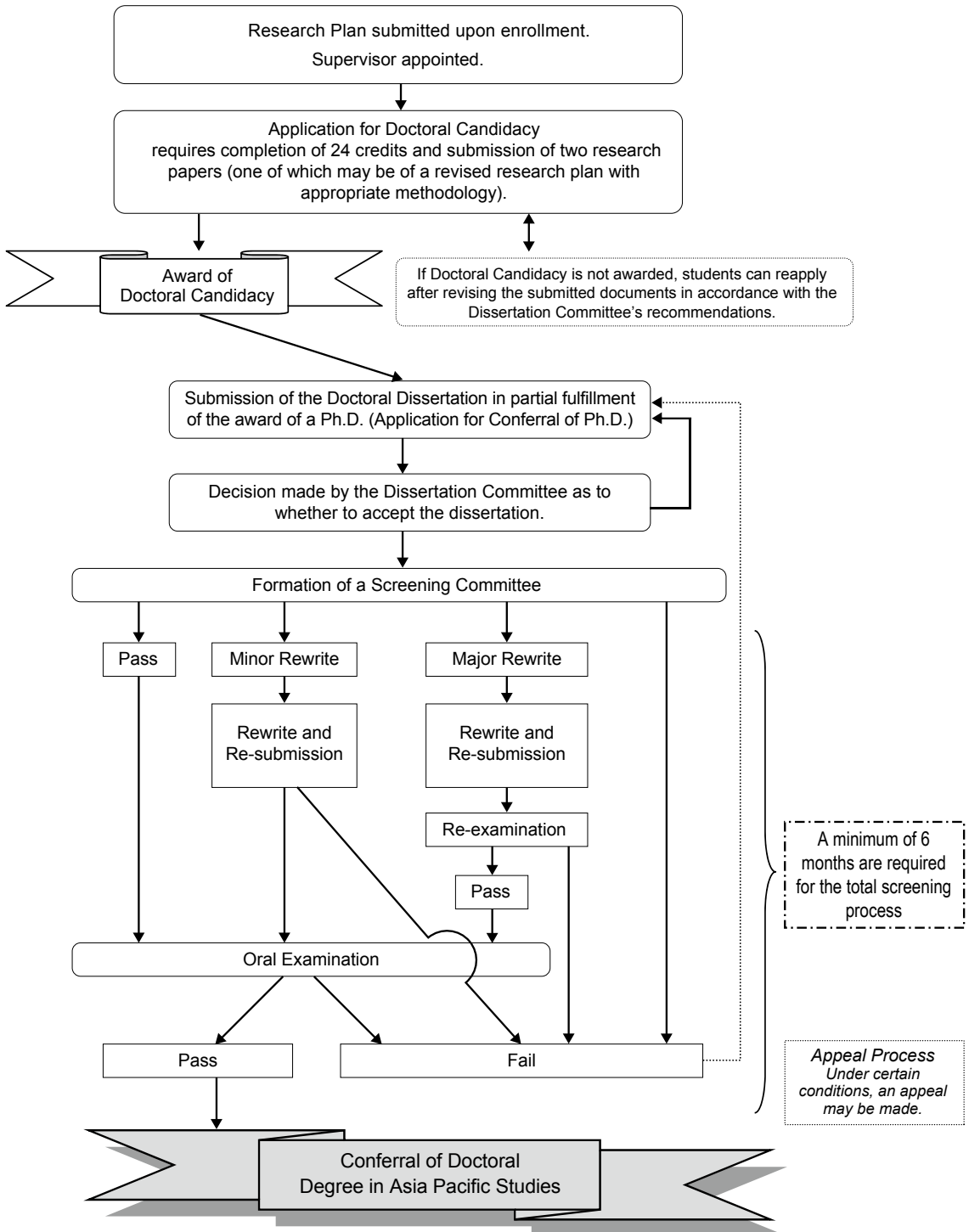
#### Points to be aware of:

- 1) Candidates retain the copyrights of their dissertation even after they are made publicly available online.
- 2) If the copyright of the candidate’s work is held by a third party (eg. a publisher or academic society) the student must obtain permission to upload the dissertation by the copyright holder.
- 3) If information from interviews or surveys is included in the dissertation, candidates should make sure they handle all personal information appropriately and gain informed consent in writing regarding information used.
- 4) APU does not prepare hard copies of dissertations for students. Please contact the Co-op or other company to discuss printing options.

**Note:** For more information on research ethics and correct research practices please refer to the information in Section “2-3 Research and Writing”.



## Flow Chart of the Doctoral Program



## 4-6. Other Important Information for GSAD Students

### Graduate Research in Progress Seminars (GRiPS)

The Graduate School Research in Progress Seminars are held to provide PhD students an opportunity to gain presentation experience, receive constructive feedback on their research, and learn from their peers.

These seminars are not only beneficial to those currently working on their PhD research, but also to those who wish to know more about the PhD program and the research involved and for Master's students to learn from senior students. When presenting PhD students discuss the progress of their research and respond to questions and comments from the audience. Attendance at all presentations is mandatory for all first year PhD students.

Students are expected to give two presentations as follows.

1. The first by the end of their 3rd semester
2. The second before applying for candidacy

Please refer to the Graduate School webpage for details about presentation structure, schedule, list of presenters, etc.

### Options for Students Unable to Complete the Program within 3 Years

As the standard Doctoral Program length at APU is 3 years (6 semesters), students entering their 7th semester or above need to consider whether to extend their enrollment in the Doctoral Program, to take a Leave of Absence, or to withdraw from the University. Enrollment options for students in their 6th semester and beyond are explained in more detail below.

#### Extension of Period of Enrollment

Students wishing to stay enrolled in the Doctoral Program must submit an application for extension to the Academic Office each semester they wish to continue their enrollment after their 6th semester. Students should carefully consult with their supervisors before submitting the application. Once an application is received, it shall be reviewed by the GSA Faculty Council for approval.

Students wishing to stay enrolled in the Doctoral Program should apply to the Academic Office.

Documents to Submit:

1. Application for Extension of Period of Enrollment to Complete Doctoral Dissertation (please include an abstract / overview of your research and a list of your past research achievements).
2. Doctoral Dissertation Composition Schedule (please ask your supervisor to add their signature and a comment).

#### Submission Deadlines

- The last working day on or before January 10 (for extension in the Spring Semester)
- The last working day on or before July 10 (for extension in the Fall Semester).

Please note that student's enrollment must be valid at the following times:

1. when applying for candidacy
2. during the screening of the candidacy application
3. when submitting their Doctoral Dissertation
4. during the screening of the Doctoral Dissertation

#### Withdrawal or Leave of Absence

Students who need more time before they are ready to submit their dissertation for screening may consider withdrawing from the program or taking a Leave of Absence. The period of withdrawal is counted towards the 6 year maximum enrollment period, while the Leave of Absence period is NOT as shown in the example below. Students nearing the end of their eligibility period or wishing to be re-admitted or re-instated are strongly encouraged to discuss possible alternatives with their supervisors, the Student Office and the Academic Office.

### Example: Enrollment Options

Enrollment		Options		All Program Requirements Must Be Completed By:
2019 Spring Semester	➔	Withdrawal for 1 year	➔	2024 Fall Semester
2019 Spring Semester	➔	Leave of Absence for 1 year*	➔	2025 Fall Semester

\*Maximum Leave of Absence period is four consecutive semesters (2 years).

#### Notes regarding Withdrawal and Leave of Absence:

1. Students must be reinstated into the Graduate School before applying for candidacy and submitting their dissertation and must be enrolled in the Graduate School during the screening process.
  2. International student visas shall no longer be valid upon Withdraw or Leave of Absence from APU. International students who choose this option must leave Japan. Students should bear this in mind when deciding whether to extend or withdraw from the program.
  3. If a student withdraws from APU for a certain period, his / her enrollment status after re-admission as shown on Campusmate etc. will not match with the number of semesters left for program completion.
  4. Procedures for Withdrawal and Leave of Absence are carried out at the Student Office.
- ※ Students should consult with their supervisor and the Academic / Student Offices for any questions or concerns regarding the Extension / Withdrawal / Leave of Absence options.

## **Procedures for the Conferral of Doctoral Degree in the Graduate School of Asia Pacific Studies (Revised April 2019)**

### **1. Definition of a Doctoral Degree at APU**

The Doctoral or Ph.D. Degree is primarily a research degree incorporating original research on a topic of the candidate's choice, and is conferred on those who satisfy the requirements for graduation from the APU Graduate School (Standard Program).

\*A Ph.D. Candidate is one who has fulfilled the necessary credits requirements: (acquisition of 24 credits), including the submission of 2 Research Papers, and has successfully passed screening for degree candidacy.

### **2. The Key Requirements for a Doctorate Degree at APU**

- 2.1. A distinct contribution to a body of knowledge through an original investigation or testing of ideas, worthy at least in part of publication.
- 2.2. Competence in research processes (techniques and reporting).
- 2.3. Mastery of a body of knowledge, including previous works, and keen understanding of their relationship to wider fields.

### **3. The Dissertation Committee**

- 3.1. The Dissertation Committee within GSA administers the procedures for doctoral dissertations including approval of the theme, examination, and evaluation.
- 3.2. The Dissertation Committee will consist of a chair person and two members who will be appointed by the GSA Faculty Council based on the recommendations of the Dean of the Graduate School. The term of appointment is one (1) year and members can be reappointed.

### **4. Supervision**

- 4.1. It is essential that intending candidates clarify their topic for research and seek a faculty member who can provide the needed supervision. A research plan must be provided upon enrollment in the GSA doctoral course. Based on this plan, a potential supervisor is designated by the Dean after discussion with the concerned faculty members who have the appropriate expertise. Upon successful enrollment, the principal supervisor for each student shall be officially designated. If a student wishes to be supervised by someone other than the supervisor designated by the Dean, he/she must apply for a change of supervisor to the Dissertation Committee no later than the end of the semester of enrollment. The change may be approved by the Dissertation Committee upon consultation with concerned parties and formal endorsement by the Dean.
- 4.2. Once the principal supervisor is officially designated, the student shall begin research leading to the doctoral degree under his/her supervision.

### **5. Registration for the Award of a Ph.D. Degree**

- 5.1. Upon satisfactory completion of an agreed research program (including the submission of two research papers, one of which may consist of a revised research plan for the degree with appropriate methodology), a student shall apply to the Dissertation Committee to be registered as a candidate for the award of a Ph.D. degree. Students shall, in principle, apply to the Dissertation Committee to be registered as a candidate for the award of a Ph.D. degree, up to 3 months before the deadline for the submission of a dissertation submitted in partial fulfillment of the award of a Ph.D. (a total of 9 months before scheduled program completion).

## 6. Writing the Ph.D. Dissertation

- 6.1. There is no prescribed length for a dissertation, as this will vary with the research topic and the form of presentation. However, it is generally recognized that such a dissertation is a major piece of original work and its length will normally be between 60,000 and 80,000 words (English) or 120,000 and 160,000 characters (Japanese), exclusive of tables, charts, bibliographies, and appendices, but inclusive of footnotes.
- 6.2. Normally, dissertations should be presented in English and, as a general rule, each submitted dissertation must include a short summary in English.
- 6.3. Under certain circumstances, a candidate may be allowed to present his or her dissertation in Japanese, as in the situation of a field in which primary data and the existing literature are in Japanese, and if such is acceptable to the Dean and the Dissertation Committee. In such cases, a long summary (about ten percent the length of the Japanese manuscript) must be provided in English.
- 6.4. The format of the dissertation should follow the guidelines noted separately from this document.

## 7. Application for Conferral of the Doctoral Degree

- 7.1. All candidates must apply for the conferral of the Ph.D. degree using the appropriate application form, accompanied by the appropriate Screening Fee. Three copies of the dissertation submitted in partial fulfillment of the award of a Ph.D. must be submitted within three months after application. Electronic copies may be required to facilitate the assessment of the candidate's academic achievement.
- 7.2. In principle, the dissertation submitted in partial fulfillment of the award of a Ph.D. shall be submitted 6 months before the scheduled program completion date. The degree may be formally conferred during either of the two graduation ceremonies (Spring or Fall) every year.
- 7.3. The Dissertation Committee will screen the format, etc. of the dissertation submitted as partial fulfillment of a Ph.D. and decide whether to accept the dissertation for screening. Candidates will be informed of the decision of the Dissertation Committee.

## 8. Evaluation of the Dissertation

### (Examination Structure)

- 8.1. Doctoral dissertation screening and examination must be completed within 1 year of the date the dissertation was accepted by the University for screening. However, under certain circumstances, screening may be extended upon approval of the Dissertation Committee and GSA Faculty Committee.
- 8.2. Upon receipt of an application, a Screening Committee for each dissertation shall be formed. In principle, the Screening Committee shall consist of the principal supervisor, one internal and one external examiner.
  - 8.2-1. As a rule, those appointed as an internal examiner (other than the main supervisor) should hold doctoral-level supervising qualification status (D+). However, if deemed necessary based on the content of the dissertation, those faculty who do not fit this profile (those with only assistant-supervisor (D) status, Associate Professors, etc.) may be appointed. In this case, the Dissertation Committee shall review the proposed faculty's CV or research accomplishments and decide on the appropriateness of the selection accordingly.
  - 8.2-2. If it is deemed necessary by the Dissertation Committee the number of examiners may be increased.
  - 8.2-3. The examiners will be appointed by the Dissertation Committee.

### (Examination Criteria)

- 8.3. Doctoral dissertation should achieve or exceed the quality of PhD research of peers working in the same field at the PhD level. The research project is assessed based on the following criteria, among others

#### 8-3-1. Originality:

The dissertation provides original and important knowledge for academics, practitioners, or society.

8-3-2. Research Question/Topic:

The research question/topic is appropriate and is defined within the current paradigm and context of disciplinary academic literature.

8-3-3. Literature Review:

The literature referenced in the dissertation is both extensive and deep encompassing a broad range of sources and context to fully cover the necessary academic and other material to define and defend the research project's originality and significance.

8-3-4. Methodology:

The dissertation is grounded in appropriate theory and uses appropriate methodologies to determine results.

8-3-5. Structure:

The structure of the dissertation allows for clear and logical communication of information to the audience.

8-3-6. Analysis:

The dissertation provides sufficient data and reasons that lead to the findings and conclusions.

8-3-7. Implication:

The thesis has implications for academics, practitioners or society.

8-3-8. Writing:

The text is clear and concise without unnecessary repetition and is written in the format of an argument with substantial evidence and claims. The writing adheres to standard research practices of citations and works cited without instance of plagiarism.

8-3-9. Publication:

At least one part of the thesis has the potential to be published in a reputable academic journal in the relevant field.

(Examination Process)

8.4. Each examiner shall make a separate report to the Dissertation Committee with one of the following recommendations:

**Pass** (The dissertation is accepted as satisfactory);

**Minor Rewrite** (Subject to specified minor revisions and corrections, the dissertation is accepted as satisfactory);

**Major Rewrite** (One or more sections of the dissertation is to be rewritten prior to the re-submission of the dissertation for re examination);

**Fail** (The dissertation is rejected).

8.5. Candidate shall receive copies of examiners' reports.

8.6. In the event that the screening result is "Pass" or "Minor Rewrite", an oral examination on the student's knowledge of the contents of the dissertation submitted in partial fulfillment of the award of a Ph.D. and the connected field shall be held.

8.7. In case of conflicting examiners' evaluation, that is, if contradictory revisions are recommended, the Dissertation Committee will resolve the conflict. The Committee's comments will be forwarded to the examiners.

8.8. When a candidate is required by the Dissertation Committee to revise a dissertation, the principal supervisor will be expected to coordinate the process, unless the Dean and/or the Chair of the Dissertation Committee requires another person(s) to assist in the coordination of the re submission.

8.9. If a candidate is required to undertake a Major rewrite, the examiners will be invited to re examine the dissertation upon re submission by the candidate. In case of a Minor rewrite, the Dissertation Committee will examine and may certify that the recommended changes have been made.

- 8.10. If an examiner chooses not to re examine, the decision of the remaining examiners will hold. If all the examiners refuse to re examine the re submission, a new set of examiners shall be appointed by the Dissertation Committee.
- 8.12. After rewriting, the Dissertation Committee shall make a final decision on the dissertation on the basis of the examiners' recommendations.
- 8.13. The administration of unsatisfactory results shall be the responsibility of the Dissertation Committee and the Dean.
- 8.14. An Appeal Procedure shall be instituted with the following conditions:
- If the final decision of the Dissertation Committee is "Fail", but one of the three examiners judged it "Pass", an appeal may be allowed by the Dissertation Committee.
  - If a candidate wishes to appeal a decision, notice of an intention to appeal shall be forwarded in writing to the Dissertation Committee within one month of the date of the written notification of the result. If a written defense is pursued, a detailed written case must be provided to the Dissertation Committee within three months of the date of written notification. If an oral defense is pursued, this shall be conducted within four weeks of the notification of intent to defend.
  - In the event of an appeal, a special committee to decide on the merits of the case shall be established consisting of the Dean, one member of the Dissertation Committee and another faculty member who has expertise in the area of the candidate's dissertation, but who has neither examined, nor supervised the conduct of dissertation.
- 8.14. The decision of the Dissertation Committee shall be presented for approval to the GSA Faculty Committee. In addition, the decision shall undergo deliberation by the Higher Degrees Committee and finally decided upon by the University President.
- 9. Cancellation/Disqualification from the Conferral of Degree**
- 9.1. If the candidate is found to have gained the degree through improper means or to have done anything to damage the University's good reputation, the President of the University may, after thorough screening by the GSA Faculty Committee and the Higher Degrees Committee, rescind that Degree.
- 9.2. At the APU Graduate School, Ph.D. students are required to observe the highest standard of integrity in research. Copying, translating, or close paraphrasing of another person's work constitutes plagiarism and is deemed a serious offense, equated with cheating in examinations. The fabrication or falsification of data and use of another person's ideas without proper acknowledgement are examples of other forms of unethical research conduct.
- 9.3. A dissertation involving plagiarism, fabrication or falsification of data may be failed outright.
- 10. Archiving Dissertations and Making Dissertations Publicly Available Online**
- 10.1. Candidates to who conferral of a doctoral degree is confirmed are required to submit a soft copy of the dissertation upon which the degree is being conferred and an abstract of said dissertation by the date of completion of the Doctoral Program. The abstract outlining the content of the dissertation and a summary of the doctoral dissertation screening results shall be made publicly available online within three months of the conferral of the Doctoral degree.
- 10.2. The dissertation in its entirety will be permanently bound and archived at the APU Library. A soft copy of the dissertation shall be uploaded to the university online repository within one year of conferral of the doctoral degree and made publically available for viewing online via the National Diet Library.
- 10.3. In the case that any of the reasons stipulated below disallow the dissertation from being made publicly available online for more than a year from the date of the conferral of the Doctoral degree, it will be

possible to submit a concise summary of the content in place of the entire dissertation upon the approval of the Dissertation Committee and GSA Faculty Committee. However, in the case that the reasons stipulated below cease to apply, the entire dissertation shall be made publicly available online.

a) The doctoral dissertation cannot be made publicly available online for more than a year from the date of degree conferral due to copyright or the protection of personal information.

b) The doctoral dissertation cannot be made publicly available for more than a year from the date of degree conferral because it would clearly be disadvantageous to the graduate as they are planning to publish their dissertation or part of which, and making it publicly available online may infringe Academic Journal publication rules against multiple publications, or due to applications for patents pending approval. If the application is approved the graduate may be granted an exemption from their dissertation being made publicly available online for a period of up to 5 years from the date of degree deferral. After which time, if there are no other circumstances impeding the dissertation being made publicly available online then the dissertation will be automatically made publicly available online.

c) Making the doctoral dissertation publicly available online for more than a year from the date of degree conferral would clearly be disadvantageous to graduates who have published their dissertation or part of which, and making it publicly available online infringes Academic Journal publication rules against multiple publications or due to patents.

d) The doctoral dissertation cannot be made publicly available online because it includes material that is in a three-dimensional format.

- 10.4. In line with the regulations stipulated in articles 10-2 and 10-3, candidates must confirm (using the prescribed form) to the Dissertation Committee upon application for conferral of the doctoral degree that there are no problems with regards to copyright, patents, confidential information or personal information which impedes making the dissertation public. Supervisors (or other faculty involved in the degree applicant's instruction) shall coordinate and assist during the process of confirmation.
- 10.5. The examiners will confirm in writing whether it is appropriate for the entire dissertation to be made publicly available online. The Dissertation Committee and GSA Faculty Committee will deliberate on the documents submitted by the candidate and examiners regarding the doctoral dissertation being made publicly available online and determine the process to be followed for each dissertation.



# アジア太平洋研究科博士後期課程(GSAD)論文審査手続き (2019年4月改訂)

## 1. APU博士学位の定義

アジア太平洋研究科博士後期課程における博士学位は、博士学位候補生が、自ら選択した課題について、自らが行った研究に対して授与される学位で、アジア太平洋研究科博士後期課程を修了したものに授与される。

※博士学位候補生とは、それに必要な単位数(24単位)を修得、リサーチ・ペーパー2点を提出し、審査に合格した者を指す。

## 2. 博士の学位授与の基本的要件

- 2-1. 独自の調査・研究や理論の検証によって、少なくともその一部が出版に値するほどの、人類の知的財産に対する明確な貢献があること。
- 2-2. 研究能力(研究手法や成果発表力)を有すること。
- 2-3. 先行研究を含む関連分野の既往の知識に精通し、それらと周辺領域との関連を理解していること。

## 3. 博士学位論文委員会

- 3-1. アジア太平洋研究科博士学位論文委員会は、博士論文の課題決定、論文審査、評価を含む博士論文審査手続きを管掌する。
- 3-2. 博士学位論文委員会は1名の委員長と2名の委員からなり、研究科長の推薦を受け、研究科委員会で承認される。任期は1年とし、再任は妨げない。

## 5. 博士学位候補生資格取得の為の履修と申請

- 5-1. 博士学位候補生資格取得(リサーチ・ペーパー2点の提出を含む。そのうち1点は、学位論文研究の梗概と研究方法を述べたもの)のため、当該大学院生は、原則として、博士学位候補生資格取得予定日の3ヶ月前(修了予定の9ヶ月前)までに、博士学位論文委員会に博士学位候補生資格の申請をしなければならない。

## 6. 博士論文の形式

- 6-1. 博士論文は、課題や公表形式により長さが異なるので、厳密な文字数の指定はしない。しかし、博士学位にふさわしい原著論文の長さとしては、図表、文献リスト、付録などを除いた本文の長さは、英文の場合は60,000語から80,000語程度、日本語の場合は、120,000文字から160,000文字程度である。
- 6-2. 博士論文の言語は英語を原則とし、英語の要約をつける。
- 6-3. ただし、それが適切であると認められる場合には、日本語での博士論文を認めることがある。たとえば、その分野における一次資料や参考文献がほとんど日本語であるような場合である。そのような場合でも、研究科長そして博士学位論文委員会による承認と、長文の英語要約(日本語による博士論文の1割程度の長さ)を条件とする。
- 6-4. 博士論文の形式は、別に定めるガイドラインに基づいて執筆されなければならない。

## 7. 博士学位の授与申請

- 7-1. すべての博士学位候補生は、指定の申請書に、所定の審査料を添えて、博士学位授与申請を行い、申請より3ヶ月以内に博士学位請求論文を3部提出しなければならない。論文審査、評価に適切である場合には、上記の他に、電子メディアによるコピーの提出が求められることがある。

- 7-1. すべての博士学位候補生は、指定の申請書に、所定の審査料を添えて、博士学位授与申請を行い、申請より3ヶ月以内に博士学位請求論文を3部提出しなければならない。論文審査、評価に適切である場合には、上記の他に、電子メディアによるコピーの提出が求められることがある。
- 7-2. 博士学位請求論文は、原則として、修了予定日の6ヶ月前までに提出しなければならない。学位は年2回の学位授与式(春もしくは秋)に授与される。
- 7-3. 博士学位論文委員会は、博士学位請求論文の形式等要件について審査し、受理の判断を行う。受理の可否は、申請者である博士学位候補生に通知される。

## 8. 博士論文の審査

### (審査体制)

- 8-1. 学位授与の申請受理後1年以内に、博士論文の審査及び試験を終了しなければならない。ただし、特別の理由があるときは、博士学位論文委員会および研究科委員会の議を経て、その期間を延長することができる。
- 8-2. 申請書が受理されてから、審査委員会が組織される。審査委員会は、原則として、主指導教員、本学教員1名、外部からの審査員1名で構成される。
  - 8-2-1. 前項の主指導教員以外の「本学教員1名」の審査員は、原則として、博士後期課程研究指導資格(D○合)保持者とするが、論文の内容に応じ必要と認める場合は、本学教員(博士後期課程研究指導補助資格(D合)保持者、准教授等)とすることができる。その場合、博士学位論文委員会は、事前に、履歴書および研究業績書により、当該教員の審査資格について判定を行うこととする。
  - 8-2-2. 博士学位論文委員会が必要と認める場合は、審査員を追加することができる。
  - 8-2-3. 博士学位論文委員会の協議を経て、審査員を任命する。

### (審査基準)

- 8-3. 博士論文は、博士学位のレベルにおいて、当該の研究分野における他の研究と同等またはそれ以上の質を有するものでなければならない。よって、博士論文は以下に示す審査基準に基づいて評価されるものとする。
  - 8-3-1. 独創性  
研究分野、実務あるいは社会に対し、独創的かつ重要な知見を提供するものであること。
  - 8-3-2. 研究課題  
研究上の問いが適切に立てられており、既存の理論的枠組みと学術文献に裏付けられたものであること。
  - 8-3-3. 文献レビュー  
関連分野における既存の学術的成果を幅広く参照・引用しながら深く考察し、論文の独創性と重要性を立証できるものであること。
  - 8-3-4. 方法  
研究結果を裏付けられる適切な理論や手法を用いていること。
  - 8-3-5. 論文の構成  
読者にとって明瞭かつ論理的に情報を伝達できる構成であること。
  - 8-3-6. 分析  
研究発見や結論が十分なデータや根拠を用いて導かれていること。
  - 8-3-7. 意義  
学術、実務ならびに社会に対しての意義を有すること。
  - 8-3-8. ライティング  
文章に不必要な重複がなく、明快かつ簡潔であり、確かな証拠と具体的な主張を伴う議論が展開されていること。また、学術論文としてふさわしい書式規範に従い、剽窃の疑いのないこと。

### 8-3-9. 研究発表

少なくとも論文の一部が当該分野において定評のある学術誌に刊行されている、または刊行される可能性があること。

(審査基準)

- 8-4. 各審査員は、個別に審査結果を下記の様式に従い博士学位論文委員会に対して行う。
- 合格
  - 一部修正のうえ、合格
  - 一部再執筆のうえ、合格
  - 不合格
- 8-5. 各審査員の審査結果は、博士学位候補生に通知される。
- 8-6. 審査結果が「合格」または「一部修正のうえ、合格」の場合、審査委員会は、博士学位請求論文の内容及び関連する分野の知識について口頭試問を行う。
- 8-7. 各審査員の指摘する修正点が異なるなど、各審査員の審査結果に相違のある場合は、博士学位論文委員会が判断を行い、その意見が審査員に通知される。
- 8-8. 博士学位論文委員会によって修正・再執筆が必要とされた場合、指導教員がその作業を指導するのが通常であるが、研究科長あるいは博士学位論文委員会委員長が必要と認める場合、その他の教員に修正・再執筆作業指導の補助を依頼することもある。
- 8-9. 判定が「一部再執筆のうえ、合格」の場合、同じ審査員による再審査を行う。「一部修正のうえ、合格」の場合、博士学位論文委員会が修正箇所が正しく修正されているか審査をする。
- 8-10. ある審査員が再審査を行わないとする場合、その他の審査員の審査結果により判定される。全ての審査員が再審査を行わないとする場合は、博士学位論文委員会により新しい審査員が任命される。
- 8-11. 一部修正または再執筆後の再審査の結果に基づき、博士学位論文委員会は最終判定を行う。
- 8-12. 「不合格」の場合の通知等管理は、博士学位論文委員会および研究科長の責任で行う。
- 8-13. 不服申し立ての成立
- a) 博士学位論文委員会の判定は「不合格」であるが、3名の審査員のうち少なくとも1名の審査結果が「合格」である場合には、博士学位論文委員会において協議の上、不服申し立てを認めることがある。
  - b) 不服申し立てをする場合、書面による最終判定通知の後1ヶ月間以内に、その意思を博士学位論文委員会に書面で表明しなければならない。書面による抗弁の場合、最終判定通知日より3ヶ月以内に、博士学位論文委員会に対して詳細な申し立て理由を書面にて伝えなければならない。口頭による抗弁の場合、不服申し立ての意思表明より4週間以内に、博士学位論文委員会に対して詳細な申し立て理由を口頭にて伝えなければならない。
  - c) 不服申し立てが認められた場合、研究科長、博士学位論文委員1名、関係の研究分野で指導教員でも審査委員でもない教員1名、計3名からなる不服審査委員会が組織され、審議される。
- 8-14. 博士学位論文委員会による最終結果は、アジア太平洋研究科委員会において承認される。更に、学位委員会の審議を経て、学長が決定する。
- ## 9. 学位の取り消し
- 9-1. 学位を授与された者が不正行為により学位を取得したことが確認された場合、あるいは大学の名誉を傷つける行為があった場合、アジア太平洋研究科委員会及び学位委員会の議を経て、学長は学位を取り消すことができる。
- 9-2. APU 大学院における研究は、最高水準の品位を保たなければならない。他者の作品をコピー、翻訳、意識する行為は剽窃と見なされ、試験の不正行為と同様に重要な不正行為である。データの改竄や偽造、他者のアイデアを無断で使用することもすべて不正行為である。

9-3. 剽窃、偽造、改竄が判明した場合は、「不合格」となる。

## 10. 博士論文の保存と公表

- 10-1. 博士学位の授与が決定した学生は、修了日までに博士学位授与に係る論文の全文および、要旨をソフトコピーで提出しなければならない。提出された論文の内容の要旨および博士論文審査の結果の要旨は博士学位授与より3ヶ月以内に、インターネットの利用により公表される。
- 10-2. 提出された博士論文の全文は、大学が恒久的な装丁を行い、APU ライブラリーに保存される。ソフトコピーは、博士学位授与より1年以内に本学所定のリポジトリに掲載のうえ、国立国会図書館を通じてインターネットで公表される。
- 10-3. 次の各号に定める事由により、博士学位の授与日から1年を超えてインターネットの利用による公表ができない場合には、博士学位論文委員会およびアジア太平洋研究科委員会の承認を受けて、博士学位授与に係る論文の全文に代えてその内容を要約したものを公表することができる。なお、次の各号に定める事由がなくなった場合には、博士学位授与にかかわる論文の全文を公表する。
- ① 博士論文が、著作権保護、個人情報保護等の事由により、博士学位の授与日から1年を超えてインターネットの利用により公表することができない内容を含む場合
  - ② 博士学位の授与日より1年を超えて博士学位候補生が、論文の全文または一部を出版または学術誌に投稿する予定をしており、インターネット公表が多重公表などの学術誌の公表規定に違反する場合や、特許申請中であり、論文の公表により博士学位候補生にとって明らかな不利益が将来的に生じる場合。  
申請が承認された場合、学位の授与日より最長5年間の全文公表が免除される。その後は、インターネット公表を行うことによって問題となる他の事由がない限り、自動的に公表される。
  - ③ 博士学位候補生が、論文の全文または一部を、出版または投稿しており、インターネット公表が多重公表などの学術誌の公表規定に違反する場合や、特許の関係により、論文の公表によって博士学位候補生に明らかな不利益が博士学位の授与日より1年を超えて生じる場合。
  - ④ 博士論文が、立体形状による表現を含む等の事由により、インターネットの利用による公表ができない内容を含む場合
- 10-4. 10-2 および 10-3 の規定に基づき、博士学位候補生は、著作権・特許・秘密情報・個人情報等に対して問題がないか、確認を行い、学位申請時に博士学位論文委員会に報告しなければならない。指導教員等は、その確認作業を指導・支援する。
- 10-5. 審査員は学生の報告が適切であるか審査を行う。博士学位論文委員会および研究科委員会は審査員から提出された公表に関する判断について、審議の上、最終の判断を行う。