

## Section 2

# Graduate School of Asia Pacific Studies Doctoral Program

# GSAD

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## 2-1. Outline of the Doctoral Degree Program

### 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

### Graduate School of Asia Pacific Studies, Doctoral Program - Structure and Outline

#### 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 doctoral 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.

### Conferral of Degrees

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

## 2-2. 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 "2-5. 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	—

## 2-3. 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".

## 2-4. Doctoral Candidacy (Registration for the Award of a Doctoral Degree)

At APU, Doctoral Candidacy is defined as a condition for students to be eligible to submit their dissertation for screening, by showing their capacity and vigor in conducting their research independently. To become a doctoral ‘candidate’, a student must apply to the Dissertation Committee by submitting two research papers. Once a candidacy is achieved, the student is registered as a candidate for the award of Doctoral degree and is eligible to submit their dissertation for screening, having the other completion requirements fulfilled.

### Candidacy Submission Requirements

The requirements for applying for Doctoral Candidacy are as follows.

- **Acquisition of 24 credits**
- **Two (2) research papers** written individually while enrolled in the Doctoral Program.
- Submission of the designated **application form**

N.B. Applicants will be asked, upon the request by the Dissertation Committee in the process of screening, to submit other works to supplement their deliberations.

Students enrolled in the 3-year standard completion program are expected to complete the credits required for candidacy application by the end of their 4th semester while those enrolled in the 2-year accelerated completion program – by the end of their 2nd semester. See the “List of GSAD Subjects and Credits” for details.

Acceptable types of research papers may include (but are not limited to):

- Published journal articles
- Conference papers
- Draft chapters of the Doctoral Dissertation which should include the literature review chapter and a revised plan with appropriate methodology
- Papers written as part of the classes Research Paper I and II

*Students are encouraged to submit published or conference papers to show that they have the potential to advance in their field.*

### Candidacy Screening Schedule

	Spring Semester	Fall Semester
Submission	By July 5	By January 10
Notification of Result	By August 10	By February 10

**Note 1:** The screening period may be expended upon decision by the Dissertation Committee.

**Note 2:** If the deadline falls on a weekend or a holiday, or a day when the office is closed, the deadline will move to the immediately preceding working day.

### Candidacy Screening Process

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 completion 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.

## 2-5. 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

#### Submission Requirements

Doctoral candidates may apply for Doctoral Dissertation screening after they have obtained candidacy and prepared the required documents.

**Required Documents** (all forms are available on the Graduate School website)

- 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 at least 6 months. Candidates who 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:

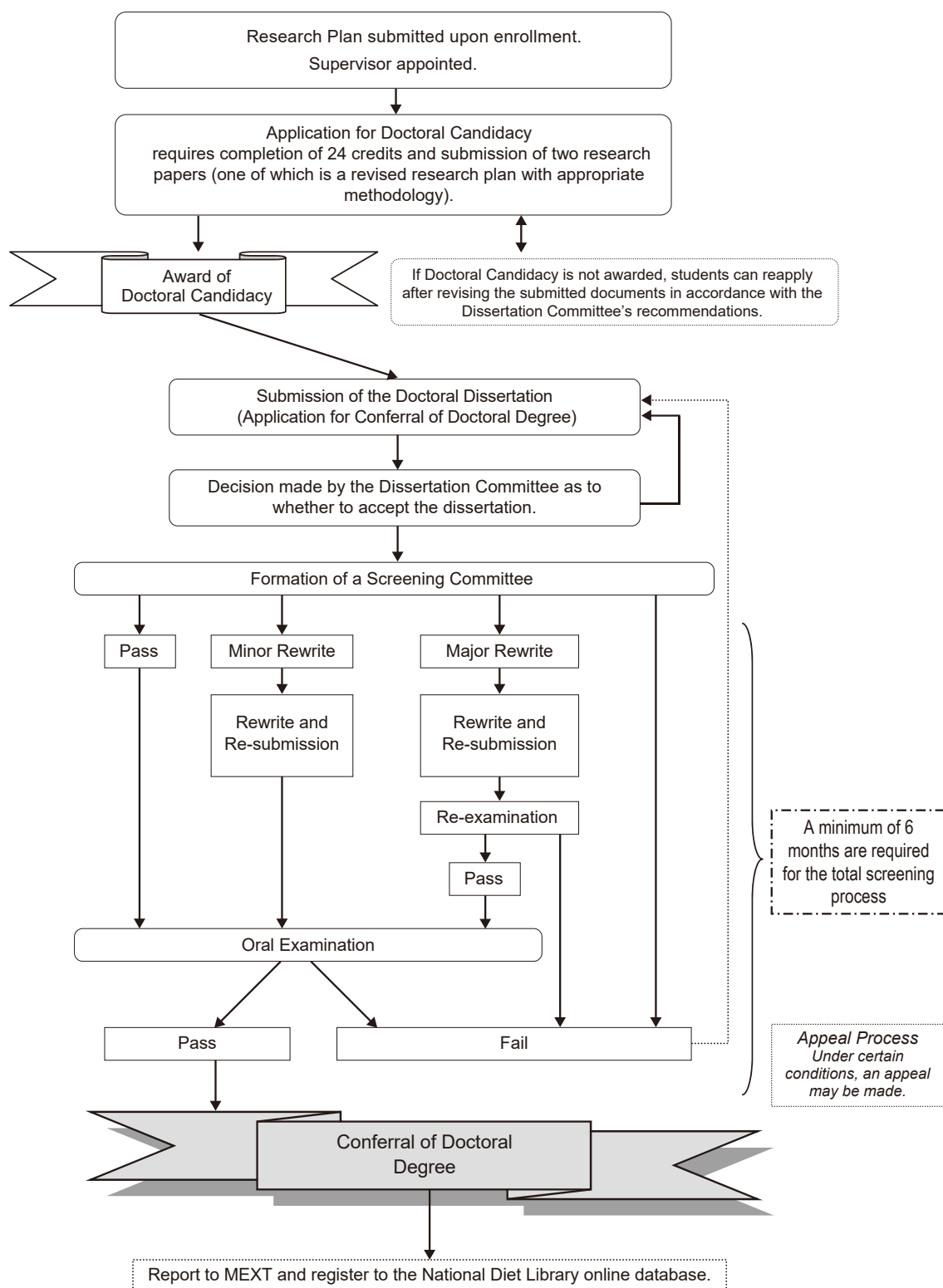
- 1) Candidates retain the copyrights of their dissertation even after they are made publicly available online.
- 2) If the copyright of the candidate's work is held by a third party (e.g. a publisher or academic society) the candidate must obtain permission to upload the dissertation by the copyright 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.

**Note:** For more information on research ethics and correct research practices please refer to the information in Section “4-3 Research and Writing”.

### Procedures for the Conferral of Doctoral Degree in the Graduate School of Asia Pacific Studies

All students should carefully read the procedures related to the Conferral of Doctoral Degree in Graduate School of Asia Pacific Studies outlining the examination standards, requirements and procedures in details (p. 35-45). This information is summarized in the flow chart on the following page.

## Examination Flow for the GSAD Dissertations





## 2-6. Other Important Information for GSAD Students

### Plan for Research Supervision

The Graduate School of Asia Pacific Studies requires that the supervisor prepares a yearly plan for research supervision, presents it to the student in advance and conducts research supervision in accordance with this yearly plan. The Plan for Research Supervision takes into account the content of the student's individual research.

The Plan for Research Supervision is prepared to provide students with guidance that leads to the successful completion of their research output and ensures the quality of research.

It serves as a benchmark for students to plan and progress with their research in the subsequent year. It also serves as a document for the supervisor to monitor the progress of the student's plans and research.

The Plan for Research Supervision is prepared for every year of enrollment at the beginning of the 1st, 3rd and 5th semesters.

**Note 1:** Students who have changed supervisors: the new supervisor will prepare and present a yearly Plan for Research Supervision. The period of research supervision in the Plan will depend on the time left until graduation.

**Note 2:** A Plan for Research Supervision will be prepared for students who extend their graduate program, and reinstated / readmitted students. The period of research supervision indicated in the Plan for Research Supervision will depend on the extension period for students who are extending their programs and on the period until graduation for reinstated/readmitted students.

### Graduate Research in Progress Seminars (GRiPS)

The Graduate School Research in Progress Seminars are held to provide doctoral 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 doctoral research, but also to those who wish to know more about the program and the research involved and for Master's students to learn from senior students. When presenting doctoral 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 doctoral students.

Students should 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 website 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 reinstated 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:
2021 Spring Semester	➡	Withdrawal for 1 year	➡	2026 Fall Semester
2021 Spring Semester	➡	Leave of Absence for 1 year*	➡	2027 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)**

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

The Doctoral Degree is a research degree incorporating original research on a topic of the candidate's choice, and is conferred on those who satisfy the requirements for the Doctoral program in the Graduate School of Asia Pacific Studies.

\*A doctoral candidate is one who has acquired the prescribed number of credits (24 credits), submitted 2 Research Papers and passed the doctoral candidacy screening.

## **2. Key Requirements for a Doctoral Degree**

- 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 consists of a chair person and two members who appointed by the GSA Faculty Council based on the recommendations of the Dean. The term of appointment is one (1) year and members can be reappointed.

## **4. Supervision**

- 4-1. Students should clarify their topic for research and receive supervision from a faculty member from the same field. A research plan must be provided upon enrollment in the GSA doctoral course. Based on this plan, a supervisor is assigned by the Dean after discussion with the concerned faculty members who have the appropriate expertise. The supervisor is officially assigned upon successful enrollment. If a student wishes to be supervised by someone other than the supervisor assigned 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 Doctoral Degree (Doctoral Candidacy)**

To be registered for the award of a Doctoral degree, the student shall submit an application (including two research papers, one of which is a revised plan of the doctoral research with appropriate methodology) to the Dissertation Committee 3 months before the intended acquisition of the doctoral candidacy (a total of 9 months before scheduled program completion).

## **6. Writing the Doctoral 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 in English or 120,000 and 160,000 characters in Japanese, excluding tables, charts, bibliographies, and appendices.

- 6-2. As a rule, the doctoral dissertation should be presented in English and should include a summary in English.
- 6-3. Under certain circumstances, a candidate may be allowed to present his or her dissertation in Japanese. This may be allowed if the primary data and the existing literature are mainly in Japanese, and if these are accepted and approved by the Dean and the Dissertation Committee. In such cases, an extended 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 Doctoral degree using the appropriate application form, accompanied by the appropriate screening fee. Three copies of the doctoral dissertation must be submitted within three months after application. In addition to that, electronic copies may be required to facilitate the screening and assessment of the doctoral dissertation.
- 7-2. In principle, the doctoral dissertation 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 doctoral dissertation and decide whether to endorse it 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 application for the Conferral of Doctoral Degree was accepted. However, under certain circumstances, screening may be extended upon approval of the Dissertation Committee and GSA Faculty Council.
- 8-2. Upon endorsement of the application, a Screening Committee 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, faculty 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, 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 and 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 doctoral research of peers working in the same field at the doctoral 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:

- a) **Pass** (The dissertation is accepted as satisfactory);
- b) **Minor Rewrite** (Subject to specified minor revisions and corrections, the dissertation is accepted as satisfactory);
- c) **Major Rewrite** (One or more sections of the dissertation is to be rewritten prior to the re-submission of the dissertation for re-examination);
- d) **Fail** (The dissertation is rejected).

8-5. The 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 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 Dissertation Committee's comments will be forwarded to the examiners.

8-8. When a candidate is required by the Dissertation Committee to revise his/her dissertation, the supervisor will 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 revision.

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 if 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.

- 8-11. The Dissertation Committee shall make a final decision on the revised dissertation on the basis of the examiners' recommendations from the re-examination of the dissertation after minor or major revisions.
- 8-12. The administration of fail results shall be the responsibility of the Dissertation Committee and the Dean.
- 8-13. Appeal Procedures:
- 8-13-1. 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.
  - 8-13-2. 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 of the result. If an oral defense is pursued, the details of the case must be presented verbally to the Dissertation Committee within 4 weeks of the submission of the notice of an intention to appeal.
  - 8-13-3. In the event of an appeal, an Appeals Committee 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 shall be established to decide the merits of the case.
- 8-14. The final result of the Dissertation Committee shall be approved by the GSA Faculty Council. Furthermore, the approved result shall be deliberated by the Higher Degrees Committee and finally decided upon by the 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 reputation, the President may, after thorough screening by the GSA Faculty Council and the Higher Degrees Committee, rescind that Degree.
- 9-2. At the APU Graduate School, doctoral 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 will 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 doctoral 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 doctoral dissertation in its entirety will be permanently bound and archived at the APU Library. A soft copy of the doctoral dissertation shall be uploaded to the university online repository within one year of conferral of the doctoral degree and made publicly available for viewing online via the National Diet Library.
- 10-3. In the case that any of the reasons stipulated below disallow the doctoral 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 Council. 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 he/she is planning to publish his/her 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 his/her 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 his/her 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 Council 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)学位授与に関する諸手続き

(2019 年 4 月改訂)

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## 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。

## 4. 指導について

- 4-1. アジア太平洋研究科博士後期課程の学生は自身の研究課題を明確にし、その分野の指導にふさわしい指導教員より指導を受けなければならない。本学博士後期課程入学時に、研究計画書を提出しなければならない。この研究計画書に基づいて、研究科長は該当の研究分野の教員と協議の上、指導にふさわしい教員を指導教員候補として指名する。入学後、正式に指導教員を確定する。学生の希望により研究科長が指名した指導教員候補以外の教員に変更する場合は、入学したセメスターの末までに博士学位論文委員会に申し出なければならない。この変更は、関係教員の合意の下に、博士学位論文委員会によって裁定され、研究科長の承認を受けなければならない。
- 4-2. 主指導教員の確定後は、学生は博士学位取得に向けて指導教員の指導のもとに研究を始める。

## 5. 博士学位候補生資格取得の為の申請

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、当該学生は、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、研究分野における一次資料や参考文献が日本語であるような場合など、それが適切であると認められた場合には、研究科長および博士学位論文委員会による承認の下、日本語での博士論文を認めることがある。その場合、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)を提出しなければならない。

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。

7-2. 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、特段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承認により、その期間を延長することができる。

8-2. 申請を受理した後、審査委員会が組織される。審査委員会は、原則として、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. 前項の主旨導教員以外の「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が審査員を任命する。

(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。

(審査手順)

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。

##### a) 合格

b) 軽微な修正を求める（博士論文として求められる水準には達しているが、軽微な修正が必要）

c) 大幅修正を求める（修正すべき箇所がひとつもしくは複数の章にわたって確認されるため、再審査が必要）

##### d) 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「軽微な修正を求める」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作業の指導補助を依頼することもある。

8-9. 判定が「大幅な修正を求める」の場合、同じ審査員による再審査を行う。「軽微な修正を求める」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

8-13-1. 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。

8-13-2. 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示より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。

8-13-3. 不服申し立て審査の実施が承認された場合、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程に違反する場合や、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程に違反する場合や、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。

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