

# [Graduate School of Science, Osaka Metropolitan University]

## Handling Guidelines: Doctoral Course

### **Handling of Dissertations**

Created on April 1, 2022

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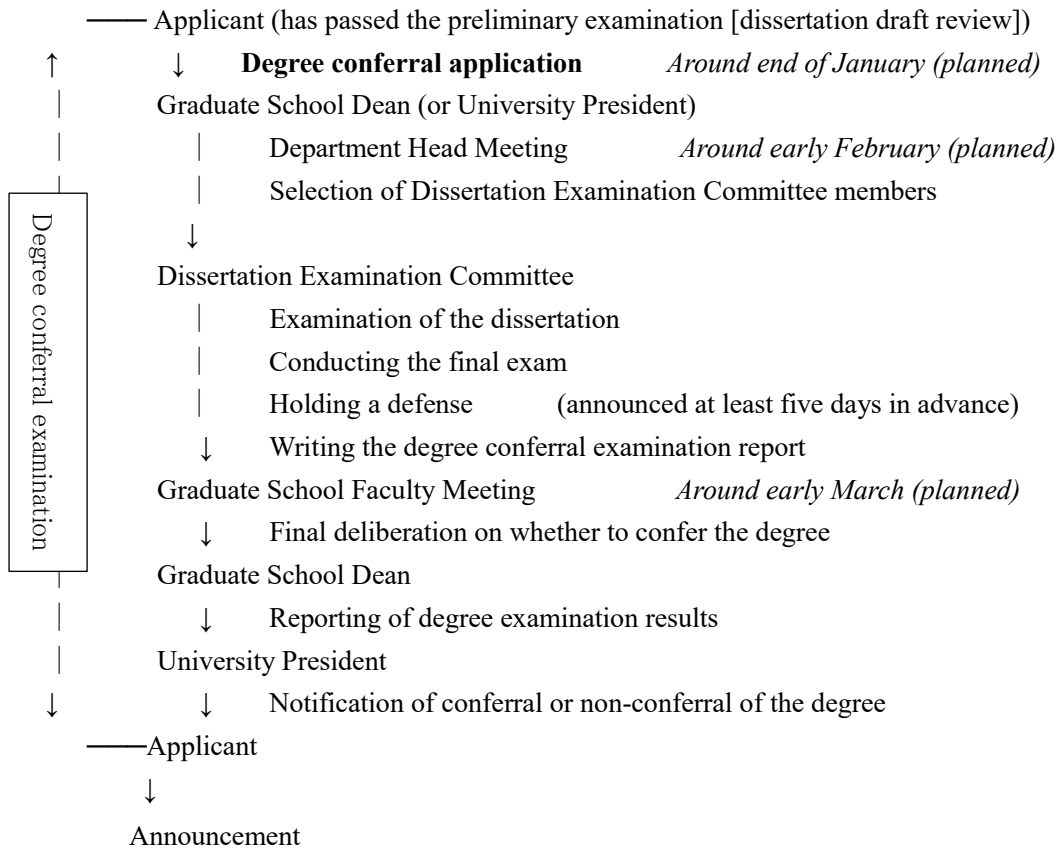
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**[Overview of Processes from Doctoral Degree Application to Degree Conferral]**

(In case of a doctoral degree conferred at the end of the academic year)

\*For more details, including applications other than those at the end of the academic year, please see [the Faculty of Science/Graduate School of Science website](#).



Graduate School of Science, Osaka Metropolitan University

Dissertation Examination Guidelines (Doctoral Course)

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Those who wish to apply for a degree conferral must first submit an Application for Dissertation Preliminary Exam (Form No. 13) to the head of the department to which the applicant belongs, and undergo and pass a preliminary examination (dissertation draft review) according to the method specified by the department. The department head shall establish a preliminary examination committee according to the method specified by the department. The preliminary examination committee prepares a report on the results of the preliminary examination (Form No. 1), and if the applicant has passed the preliminary examination, the department head notifies the applicant with a dissertation preliminary examination pass notification (Form No. 2) via the research supervisor. Moreover, a report must be submitted to the graduate school dean.

## **Section 1. Degree Conferral Application**

### **1. Application Eligibility**

Anyone wishing to apply for a degree conferral must have one of the following qualifications:

- Qualification 1: Students enrolled in the Doctoral Program of the Graduate School of Science (hereinafter, “the Graduate School”) who are expected to be enrolled for three years and earn the prescribed credits by the end of the dissertation examination (falling under Article 4, Paragraph 2 of the Degree Regulations).
- Qualification 2: Students enrolled in the Graduate School who have been so for more than three years and who have already earned the prescribed credits, or who are expected to earn the prescribed credits by the end of the dissertation examination (falling under Article 4, Paragraph 2 of the Degree Regulations).
- Qualification 3: Students enrolled in the Graduate School who are expected to be enrolled for at least one year by the end of the dissertation examination, who are expected to earn the prescribed credits, and who have been allowed to apply for degree conferral as a special case by the Graduate School of Science Faculty Meeting (hereinafter, “the Graduate School Faculty Meeting”) (falling under Article 4, Paragraph 2 of the Degree Regulations). However, in the case of a student who has completed the master’s program in less than two years, the combined enrollment periods for the master’s program and the Graduate School should be three years or more (falling under Article 4, Paragraph 2 of the Degree Regulations).
- Qualification 4: Students who have been enrolled in the Graduate School for at least three years, who

have completed the prescribed credits, and who have withdrawn from their studies, but who are expected to complete the dissertation examination within one year after the withdrawal (falling under Article 4, Paragraph 3 of the Degree Regulations). Before withdrawing, students must submit an application for degree conferral qualification (Form No. 10) and have it approved by the Graduate School.

## 2. Application Procedure

(1) A person applying for a degree must submit the following documents to the graduate school dean and make an application to the university president (Article 5, Paragraph 2 of the Degree Regulations). Submissions should be made to the Education Promotion Section of the campus to which the applicant belongs as indicated in the contact information.

a. Application for Degree Conferral (Form No. 3) . . . . . 1 copies

b. Dissertation . . . . . 3 copies and electronic file (PDF)

Printed in A4 size, with horizontal writing, and in a format suited for long-term storage.

The book shall be temporarily bound in a form that there is no possibility of pages falling out when viewed.

However, those who wish to publish an abstract instead of the full text of their dissertation must submit two bound copies after the defense.

c. Dissertation Abstract . . . . . 3 copies and electronic file (PDF)

Printed in A4 size, around 350 to 400 words in horizontal writing, and in a format suited for long-term storage.

If there are articles published in specialized academic journals on which the dissertation is based, they should be listed in the following format after the abstract.

If volume or page numbers are not available, provide information to identify the dissertation instead.

• Journal: Title, authors [all, applicant name underlined], journal name, volume, page [XXX-XXX] (year)

• Conference proceedings: Title, [all, applicant name underlined], proceedings name, volume, page [XXX-XXX] (venue, year)

Furthermore, this list should include both papers that have been accepted for publication and those that have already been submitted.

d. Bibliography List (Form No. 4) . . . . . 2 copies

e. Curriculum Vitae (Form No. 5) . . . . . 2 copies \*Research history can be omitted.

f. Dissertation Preliminary Examination Pass Notification (Form No. 2) (copy) . . . . . 1 copy

g. Application Form for Registration of Dissertation on Osaka Metropolitan University Repository for Research and Education (Form No. 6) . . . . . 1 copy

(2) Students applying for a degree according to Application Eligibility Qualification 4 must submit the following documents to the graduate school dean in addition to the documents listed above (Article 5, Paragraph 3 of the Degree Regulations). Submissions should be made to the

Education Promotion Section.

h. Credit acquisition certificate•••••1 copy

### **3. Application Deadlines**

Application deadline for preliminary examination:

Submit the Application for Dissertation Preliminary Exam to the department head through the research supervisor at least one month before the deadline for application for the main examination.

Application deadline for main examination:

Until the application deadline set for each year of application.

## **Section 2. Degree Conferral Examination**

### **1. Establishment of Dissertation Examination Committee**

When an application for degree conferral is accepted, the Graduate School Faculty Meeting shall establish a Dissertation Examination Committee according to the following procedures:

- (1) The graduate school dean shall distribute the Dissertation Abstract, Bibliography List and Curriculum Vitae before the meeting. It will be distributed to all members of the Graduate School Faculty Meeting.
- (2) The Graduate School Faculty Meeting shall appoint Dissertation Examination Committee members according to the following procedures, thereby establishing an examination committee.
  - a. The department head introduces the applicant's history.
  - b. The department head summarizes and explains the contents of the dissertation.
  - c. The department head proposes candidates for the Dissertation Examination Committee and the Graduate School Faculty Meeting deliberates and approves it. The candidates for the examination committee shall include three or more professors from the Graduate School (Article 8, Paragraph 2 of the Degree Regulations).
  - d. Notwithstanding the provisions of the preceding paragraph, a maximum of one associate professor from the Graduate School may be appointed as a member of the Dissertation Examination Committee when specifically approved by the Graduate School Faculty Meeting (Article 8, Paragraph 3 of the Degree Regulations).
  - e. When deemed necessary by the Graduate School Faculty Meeting, in addition to the Dissertation Examination Committee members stipulated in the preceding two paragraphs, the following persons may be added (Article 8, Paragraph 4 of the Degree Regulations).
    1. Associate professors and lecturers from the Graduate School;
    2. Professors, associate professors, and lecturers from other graduate schools;
    3. Professors from the graduate schools of other universities;
    4. Faculty members of research institutes, etc.
  - f. The chief examiner shall be selected from among the Dissertation Examination Committee members specified in (c) and (d) (Article 8, Paragraph 5 of the Degree Regulations). The

research supervisor cannot be the chief examiner. However, this does not apply to cases where the Graduate School Faculty Meeting explicitly permits the research supervisor to serve as the chief examiner due to the peculiarities of the research field.

- (3) Regarding establishment of Dissertation Examination Committee, matters to be deliberated by the Graduate School Faculty Meeting shall be deliberated at the Department Head Meeting delegated by the Graduate School Faculty Meeting.

## **2. Duties of the Dissertation Examination Committee**

The main duties of the Dissertation Examination Committee are as follows:

- (1) Examination of dissertation

If necessary for the examination of dissertation, the applicant may be required to submit materials and provide explanations.

- (2) Holding a defense

In principle, the Dissertation Examination Committee shall announce the applicant's name, dissertation title, date, time, and venue at least five days in advance (including weekends and holidays) and then hold a defense.

- (3) Conducting the final exam

The final exam shall be oral or written on subjects related to the dissertation, with a focus on the dissertation (Article 9 of the Degree Regulations).

- (4) Reporting results of the examination of dissertation

After completing the examination of dissertation and the final exam, a Dissertation Examination Committee Report (Form No. 7), including the following matters, shall be prepared and submitted to the graduate school dean.

- a. Summary of the contents of the dissertation

However, if the text is the same as the abstract submitted by the applicant, the summary may be omitted.

- b. Summary of the results of the examination of dissertation (around 350 to 400 words)

- c. Summary of the final exam results

- d. Opinions of the Dissertation Examination Committee

## **3. Deadlines for Examination**

The examination of dissertation and the final exam must be completed within one year from the date on which the application for the degree conferral was accepted (Article 11, Paragraph 2 of the Degree Regulations).

The summary of the results of the examination of dissertation will be published on the official website of the University within three months from the date of degree conferral (Article 17, Paragraph 1 of the Degree Regulations).

## **Section 3. Degree Conferral Deliberations**

Degree conferral deliberations shall be conducted by the Graduate School Faculty Meeting in the following manner:

- (1) The graduate school dean shall distribute the Dissertation Abstract, Bibliography List, Curriculum Vitae and Dissertation Examination Committee Report (copy) to all members of the Graduate School Faculty Meeting before the degree conferral deliberations.
- (2) Degree conferral deliberations at the Graduate School Faculty Meeting require the attendance of at least two-thirds of the members of the meeting and shall be conducted according to the following procedures:
  - a. The chief examiner of the Dissertation Examination Committee reports that the summary of the dissertation, the summary of the results of the examination of dissertation, the summary of the results of the final exam, and the opinions of the Dissertation Examination Committee are in accordance with what is described in the Dissertation Examination Committee Report that was distributed in advance.
  - b. Deliberations shall be conducted based on the report in the preceding paragraph and a decision shall be made on whether to confer the degree. Voting shall be conducted by secret ballot.
  - c. A decision to confer the degree requires the approval of at least two-thirds of the attendees.

Note: The dissertation examination results must be published for the purpose of ensuring the transparency and objectivity of the examination (Degree Regulations [Ministry of Education Ordinance No. 9 of April 1, 1953] Article 8), which is why the University publishes the “Summary of the Examination Results” and the “Dissertation Abstract” on its official website.

**When submitting materials to Education Promotion Section, pay close attention to whether they include information that would hinder patent applications and journal submissions.**

#### **Section 4. Publication of Dissertation Contents**

Within one year from the date of degree conferral, the University will publish the full text of the dissertation, or a summary of the dissertation when the university president deems that there is an unavoidable reason not to publish the full text, in its Academic Information Repository on the official website. If the full text of the doctoral dissertation is not published in the Academic Information Repository due to an unavoidable reason, it will be sent to the National Diet Library. If there are co-authors, the degree holder must notify the co-authors of the publication in advance and obtain their permission (Article 17, Paragraph 2 of the Degree Regulations).

**Prior to publication, it must be submitted after consultation with the research supervisor.**

##### **1. Submission of Electronic Files**

- (1) The degree holder must submit the full text of the dissertation in an electronic file (PDF) to the Education Promotion Section, along with an “Application Form for Registration of

Dissertation on Osaka Metropolitan University Repository for Research and Education” (Form No. 6) (hereinafter, “registration application”) no later than eleven months after the degree conferral.

- (2) If the degree holder is permitted to publish a summary instead of the full text of the dissertation in accordance with the prescribed procedures, the full text and summary of the dissertation shall be made into an electronic file (PDF) and submitted to the Education Promotion Section along with the registration application and two bound copies of the dissertation in print (Article 17, Paragraph 3 of the Degree Regulations).
- (3) A summary publication of the dissertation is allowed within five years from the date of degree conferral, except in case of restrictions on three-dimensional shape, copyright, personal information, or joint research. If the full text cannot be published after the expiration of this duration, the degree holder must follow the procedures for not publishing the full text and obtain approval for this.
- (4) If the procedures set forth in the preceding paragraph are not followed or approval is not obtained, the full text shall be published once the deadline has passed.
- (5) Once the situation changes and the conditions for the publication of the summary of the dissertation as specified in (3) do not apply anymore and the publication of the full text of the dissertation is completed, the submitted prints of dissertation shall be destroyed at the responsibility of the University.

## **2. Procedures in Case of Not Publishing Full Text**

- (1) If there is an “unavoidable reason” for publishing a summary instead of the full text of the dissertation, the degree holder must submit a “Request for Publication of Summary Instead of Dissertation Full Text” (Form No. 8) to the graduate school dean promptly after obtaining the degree. The following constitute “unavoidable reasons.”
  - a. When the dissertation contains contents that cannot be published online
    - When the paper contains three-dimensional expressions
    - When there are restrictions on copyright or personal information
    - When it includes matters that are stipulated as non-public by collaborators, etc.
  - b. When online publication causes evident disadvantages
    - When it is published or is scheduled to be published
    - When it is published or is scheduled to be published in an academic journal
    - When a patent application has been or is planned to be filed
  - c. Other
    - When the graduate school dean recognizes that there is a particularly “unavoidable reason”
- (2) The graduate school dean shall examine the application set forth in the preceding paragraph at the Department Head Meeting, and if an “unavoidable reason” is identified, this shall be reported to the university president.
- (3) The university president shall issue to the degree holder a “Notice of Approval to Publish Summary Instead of Dissertation Full Text” (Form No. 9).



**Section 5. Pre-withdrawal Procedures for Students Who Withdraw from Their Studies after Obtaining Credits and Apply for a Degree Within One Year After Withdrawal (Article 4, Paragraph 3 of the Degree Regulations)**

Anyone who applies for a degree pursuant to Qualification 4 (falling under Article 36, Paragraph 2 of the Graduate School Regulations) under 1.1. of the Degree Examination Guidelines must be certified by the Graduate School according to the following procedures prior to withdrawing from their studies.

- a. In conjunction with the notification of withdrawal, the student submits an application for degree conferral qualification (Form No. 10) to the graduate school dean.
- b. Whether to approve the application for Qualification 4 will be examined at the same time as the withdrawal examination by the Department Head Meeting.

(Reference)

Evaluation Criteria for Dissertations and Theses at the Graduate School of Science, Osaka  
Metropolitan University (Diploma Policy)

(Doctoral Program)

Through research in basic science fields, independent human resources are cultivated, acquiring advanced research skills, the ability to formulate and evaluate new research plans, and the ability to hold discussions, becoming able to play a leading role in research and development, having a high sense of ethics, and becoming able to contribute to social development. Considering these educational purposes, a doctoral degree will be awarded to those who have acquired the following abilities:

1. Having research abilities as highly specialized researchers and engineers who can flexibly respond to changes in society and play an active role in the world.
2. Acquiring the abilities to plan, propose, and evaluate advanced and original research plans that can contribute to social development.

\*This is an unofficial translation for reference only. We accept no liability for the contents. To confirm the accuracy, reliability, or validity of the contents of this translation, please consult the original Japanese materials.