

**THE DISSERTATION HANDBOOK**  
**for Ph.D. Candidates**

**Graduate Program on Global Society**  
**Graduate Program on Environmental Sciences**  
**Graduate School of Arts and Sciences**  
**The University of Tokyo**

December 25, 2014

◆Official forms and separate documents are available online at:  
[http://www.c.u-tokyo.ac.jp/eng\\_site/graduate/thesis/doctor/index.html](http://www.c.u-tokyo.ac.jp/eng_site/graduate/thesis/doctor/index.html)

[General Instructions]

Under the revised Degree Regulations of Japan, recipients of an academic degree in or after the academic year 2013 are, in principle, required to make public their doctoral dissertations on the Internet with the cooperation of their university. The university will make public each dissertation upon authorial consent; however, since the publication of a doctoral dissertation is now specified as the duty of the degree holder under the law in Japan, Japanese universities are now obligated to cooperate with such publication. Upon publication, the copyright on the dissertation will reside with its author.

Further details concerning publication of the dissertation and copyrights are explained in separate sections of these guidelines. Before beginning to write your dissertation, please be certain to thoroughly read and familiarize yourself with the information contained in these documents so that the publication of your dissertation proceeds as smoothly as possible.

[Separate Documents]

01\_Guide for Doctorate Theses and Copyrights

(This guide is regularly updated at: <http://hdl.handle.net/2261/55511>)

02\_Items to be Submitted After Degree Conferral

03\_What is “UTokyo Repository”?

04\_Requirements for Permission of Utilizing Papers Presented to the University of Tokyo Academic Institutional Repository (UTokyo Repository)

05\_Guide for Creating PDF Files to Register with UTokyo Repository

06\_Sample of First Page of PDF File of the Doctoral Dissertation

07\_Publication Guidelines for Abridged Versions of Doctoral Dissertations

08\_Code of Conduct for Research (December, 2013)

**IMPORTANT!**

◆ **Title of the Doctoral Dissertation**

Please note that the original title and the translated title that appears in parentheses are considered one whole title.

	Title in English	Title in Japanese	Remarks
Dissertation in <b>English</b>	Required	Required	Add the Japanese title after the title in English with the Japanese title in parentheses.. the title in English (Japanese translation)

Note that the front cover of the dissertation, the abstract, and the list of previous publications and related papers must all contain the title of dissertation, completely identical with respect to character size (i.e., so called full-width [*zenkaku*] characters or half-width [*hankaku*] characters), usage of signs or symbols, spacing, superscript or subscript figures, as well as a Japanese translation of the title, etc..

◆ **Spelling of the Candidate's Name**

The spelling and the form of the candidate's name must exactly match the name as it appears on the candidate's passport or other official document. For international students whose names are not written in kanji, the name as transcribed in katakana must be used as a substitute (no exceptions). Consult with the PEAK/GPEAK Section regarding the use of a former surname.

The name on the cover of the dissertation must have the same spelling and form as on the abstract, the curriculum vitae, the list of previous publications and related papers, and all other documents related to the doctoral dissertation. The spelling and form of the candidate's name as it appears on these documents will be the spelling and form that appears on the candidate's diploma.

**1. Dissertation and Reference Thesis**

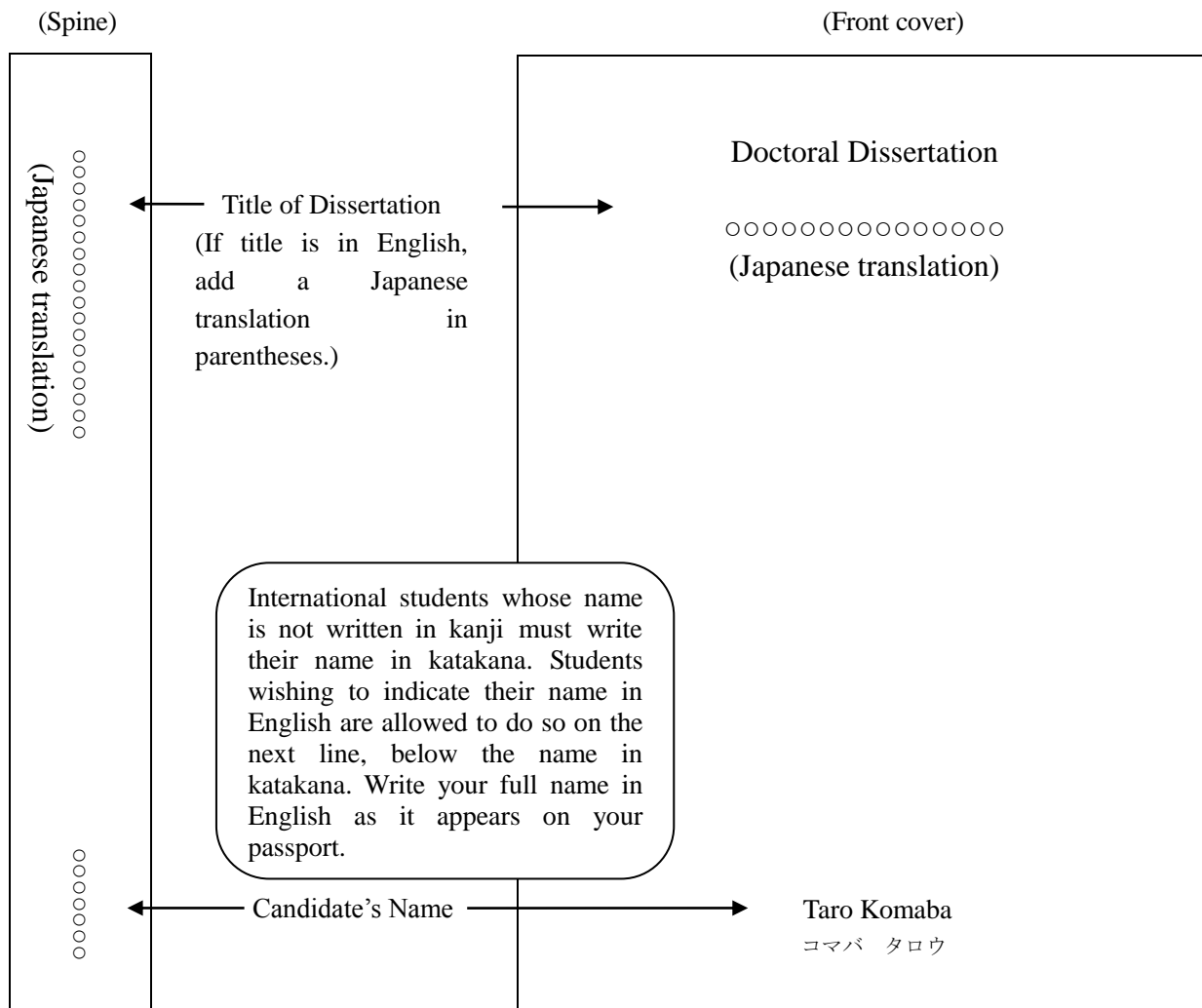
**1) Printing and Binding the Dissertation**

- (1) The doctoral dissertation must be typed in either English or Japanese on a computer, printed in a readable font size (a 10-point font is preferred). The pages must be bound using thermal binding or tape binding in order to ensure that the dissertation is adhered to the spine. The dissertation should not be enclosed in a binder.
- (2) Print the dissertation on one side or both sides of size A4 paper.
- (3) As shown in the example below, the dissertation title and the name of the applicant are to be typed on the front cover and spine of the printed and bound dissertation. The text “Doctoral Dissertation” must be typed above the dissertation title on the front cover.
- (4) If the dissertation consists of more than one volume, the volume number (e.g., ‘1/2’ or ‘2/2’) should appear at the bottom of each spine.

**2) Reference Thesis**

- (1) You may submit another thesis written by you previously, in addition to your doctoral dissertation, if it is determined, in the course of the screening of your doctoral dissertation, that such a separate thesis is needed for informative purposes, even though such a reference thesis does not constitute an integral part the doctoral dissertation. Whether or not a reference thesis is to be included should be determined in consultation with your academic advisor.
- (2) The title of the reference thesis and your name are to be typed on the front cover and spine, with the text “Reference Thesis” typed above the title on the cover. It is not necessary to add a Japanese translation of the title.

(Example of the front cover and spine of a dissertation)



- NOTE: The front cover of the dissertation, the abstract, and the list of previous publications and related papers must all contain the title of dissertation, completely identical with respect to character size (i.e., so called full-width [zenkaku] characters or half-width [hankaku] characters), usage of signs or symbols, spacing, superscript or subscript figures, as well as a Japanese translation of the title, etc..

## 2. Dissertation Abstract

- (1) The abstract must be typed horizontally in either English or Japanese, printed single-sided on size A4 paper and stapled in the top left corner.
- (2) Choose a legible font size (a 10-point font is preferred). An exception may be made for materials such as complicated numerical expressions, etc.
- (3) Print “Dissertation Abstract”, the dissertation title (if the title is in English, add a Japanese translation in parentheses), and your name on separate lines at the top of the first page. Leave the line after your name blank, and begin the body of the abstract from the following line.
- (4) The abstract may not exceed 2,000 words in English or 4,000 characters in Japanese. All figures, tables and chemical symbols must be clearly legible. The abstract should be limited to four pages in length or less.
- (5) The database of all degree-awarded dissertation abstracts is made public online. The abstract should therefore be free from typographical and other errors.

(Example of a dissertation abstract)

(First page)

<p>／</p> <p>Dissertation Abstract</p> <p>Title ○○○○○○○○</p> <p>(If the title is in English, include a Japanese translation in parentheses.)</p> <p>Name Taro Komaba コマバ タロウ</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
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(Second page and following)

<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
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### 3. Curriculum Vitae (official form)

- (1) Submit 2 signed and sealed forms and 5 copies.
- (2) The form is available online at the Graduate School of Arts and Sciences webpage.
- (3) The name and date of birth written on your curriculum vitae will appear on the degree certificate issued by the University. If you wish to have a degree certificate bearing your date of birth written in the Western calendar format, the date of birth stated on your curriculum vitae needs to be written in the same format.
- (4) If you are a non-Japanese applicant with a kanji name, enter your name in kanji; if you are a non-Japanese applicant without a kanji name, enter your name in katakana. (Adding your name in an alphabetical script is permitted.)
- (5) Your academic background should be presented in chronological order, starting with graduation from high school. Ph.D. students must fill out their educational history up to and including the date of their admission/advancement to the Graduate School. Former students who have withdrawn from the doctoral program of the University and fulfilled all requirements except for the dissertation, must include their educational history up to the date of their withdrawal.
- (6) If you advanced to the Doctoral program from a Master's program at the University of Tokyo, write "Advanced to Doctoral program ...." If you entered the Doctoral program after completing your Master's degree at another institution, write "Entered Doctoral program ...."
- (7) Academic background, professional background and research background must be written separately. Be certain to specify all information related to previous research, including the name of the university where your research was conducted and your research topic. If you have no work or research experience, please put "N/A" in the appropriate field. If your professional background and research experience are the same, include them as one field (e.g., "Professional and Research Background").
- (8) The dates referenced in the academic, professional and research backgrounds must specify the year, month and day, instead of the year and month only.
- (9) The date on this form should be the same as the date of the submission of your dissertation.
- (10) Be sure to sign and seal the form. If you do not have a seal (*hanko*), a signature will suffice.

報告番号

東大 第 号

University Use Only

Write the date as follows: (yyyy-mm-dd)

# Curriculum Vitae

Circle one.

In katakana N a m e	コ マ バ タ ロ ウ Taro Komaba/ 駒 場 太 郎	Gender M / F
Date of Birth	1985-6-17 / Showa 60- 6-17 (yyyy-mm-dd / Showa-mm-dd) Heisei	
Current Address	3-8-1 Komaba, Meguro-ku, Tokyo	

Choose from either the Japanese or Western calendar. The form you select must match that on the Title of the Dissertation Form.

### Academic Background

- 2003-3-31 Graduated from GPEAK High School
- 2007-3-31 Graduated from Department of Political Sciences, College of Liberal Arts and Sciences, University of Tokyo
- 2007-10-1 Entered to Master's program, Department of ○○, Graduate School of Arts and Sciences, The University of Tokyo
- 2009-9-30 Completed the above program
- 2009-10-1 Advanced to Doctoral program, Department of ○○, Graduate School of Arts and Sciences, The University of Tokyo
- 2012-9-30 Withdrew from the above program with the completion of the required coursework and other requirements

### Professional Background/Professional and Research Background

- 2010-4-1 Entered GSP Co., Ltd. Institute of Human Development
- 2012-3-31 Left the above corporation
- 2012-4-1 Entered GPES Co., Ltd., Institute of Applied Sciences (- present)

### Research Background

- 2010-4-1 Engaged in "Research on "○○" " as a ○○ at the University of Tokyo (until 2012-3-31)

I hereby certify that all the information above is true and correct.

(yyyy-mm-dd)

Submission Date

駒 場 太 郎  
(Signature)

Seal

**4. List of Previous Publications and Related Papers (official form)**

- (1) Submit 2 signed and sealed forms and 5 copies.
  - (2) The form is available online from the Graduate School of Arts and Sciences webpage.
  - (3) In the "Title" section, write the title of the doctoral dissertation that you will be submitting.
  - (4) If the dissertation title is in a non-Japanese language, add a Japanese translation of the title in parentheses on a separate line below.
  - (5) In the "Date and Name of Printed Publication" section, write the date of publication, the title used for the publication, the type of media (e.g., academic journal, university magazine, scholarly journal, book, etc.), its name, and the name of the publisher for any part of your dissertation that has already been published.  
 If there is a co-author (i.e., research collaborator) for any part of your dissertation, write this individual's full name and submit his/her consent in the form of "Letter of Consent and Acceptance" as explained below. However, if the co-author is deceased, such consent is not required and the text "(deceased)" must be added after the name of the deceased co-author. If your dissertation to be made public has not yet been published in printed form, write the schedule for the printed publication. However, if it has not yet been submitted for publication to an academic journal, etc., it is not necessary to write the scheduled date for publication.
- Note: An article in the process of publication means a manuscript which has already been submitted and approved for publication. However, an article which has not been submitted for publication or is in under review cannot be regarded as a published work.
- (6) In the event that you decide to submit a work of your own that is separate from the dissertation but that you believe will assist the dissertation committee in their review of the dissertation, you are required to list it in the Reference Paper section of the List of Previous Publications and Related Papers. Titles in English do not have to be accompanied by a Japanese translation.
  - (7) The date on this form should be the same as the date of the submission of your dissertation.
  - (8) Be sure to sign and seal the form. If you do not have a seal (*hanko*), a signature will suffice.

## List of Previous Publications and Related Papers

報告番号	東大甲第	号	Name	Taro Komaba / 駒場太郎
<b>Doctoral Dissertation</b>				When no previous publications are included in the dissertation, write "not applicable" in section 2.
1. Title ○○○○○○○○○○○○○○ <span style="border: 1px solid black; padding: 2px;">Enter the dissertation's title.</span> (If the title is in English, provide a Japanese translation in parentheses.)				
<b>2. Date and Name of Printed Publications</b>				
(1) _____ Magazine Vol. _____ pg. _____ to _____ " Title " (co-author: _____ and _____)				
(2) _____ University Journal Issue _____ pg. _____ to _____ " Title " (co-author: _____)				
(3) _____ Academic Journal Issue _____ pg. _____ to _____ " Title " (co-author: _____) to be published				
<b>3. Number of volume</b>				
1 volume <span style="border: 1px solid black; padding: 2px;">Make sure to enter "1 volume."</span>				
<b>Reference Papers</b>				
1. Title ○○○○○○○○○○○○				
2. Method and Date of Publications				
_____ Journal Issue _____, Vol. _____ pg. _____ to _____				
3. Number of volume 1 volume <span style="border: 1px solid black; padding: 2px;">Make sure to enter "1 volume."</span>				
_____ (yyyy-mm-dd) <span style="border: 1px solid black; padding: 2px;">Submission Date</span>				
<b>Ph.D. Candidate</b>				
駒場太郎 (Signature)				

All the fields highlighted in blue must be filled out.



## 5. Letter of Consent and Acceptance (official form)

- (1) A Letter of Consent and Acceptance must be printed on A4-size paper for each of the co-authors or research collaborators mentioned in Section 2. “Date and Name of Printed Publications” in the List of Previous Publications and Related Papers (hereinafter individually or collectively referred to as “co-authors”).
- (2) When asking your co-authors to produce a Letter of Consent and Acceptance, you must supply a copy of the “Requirements for Permission of Utilizing Papers Presented to the University of Tokyo Academic Institutional Repository (UTokyo Repository)” (provided as a separate document) to each co-author, together with the Letter of Consent and Acceptance form.
- (3) If any co-author (including the estate of a deceased co-author) refuses to authorize publication of the full dissertation, you must file an “Application for Publication of Abridged Dissertation” and submit an abridged version of the dissertation in PDF. However, even in this case you are expected to submit a PDF version of the full dissertation.
- (4) The date of the Letter of Consent and Acceptance should be the day on which the co-author gives his or her consent.
- (5) The Letter of Consent and Acceptance must be signed and sealed by the respective co-author. If a co-author is a non-Japanese individual, his/her signature may be substituted for a seal (*hanko*); in this case, his/her name, which would otherwise be written by hand in the designated space, should be typed there.
- (6) A Letter of Consent and Acceptance is not required for a co-author (research collaborator) of a reference thesis.
- (7) A Letter of Consent and Acceptance is not required for a deceased co-author. However, if a Letter of Consent and Acceptance is issued by the estate of the deceased co-author this consent is legally valid.

## Letter of Consent and Acceptance

Although the dissertation being submitted by Mr. Taro Komaba contains parts, listed below, that have been created jointly by myself, as a co-author (research collaborator), and Mr. Taro Komaba, I, the undersigned, hereby accept and agree that said parts will be treated as an integral part of the doctoral dissertation by Mr. Taro Komaba.

*Please check the applicable box.*

- I accept and agree that the dissertation mentioned above will be made public in its entirety through UTokyo Repository\* in accordance with the “Requirements for Permission of Utilizing Papers Presented to the University of Tokyo Academic Institutional Repository (UTokyo Repository)”.
- I do not accept nor do I agree to the full-text publication of the dissertation mentioned above. However, I do accept and agree that an abridged version of the dissertation be made public through UTokyo Repository.\*

- (1) MM YYYY \_\_\_\_\_ Journal Vol. \_\_\_\_, Pages \_\_\_\_–\_\_\_\_  
“\_\_\_\_\_” (in collaboration with co-author, \_\_\_\_\_)
- (2) MM YYYY \_\_\_\_\_ Review Vol. \_\_\_\_, Pages \_\_\_\_–\_\_\_\_  
“\_\_\_\_\_” (in collaboration with co-author, \_\_\_\_\_)
- (3) MM YYYY To be published in an Academic Publication, Month of \_\_\_\_\_,  
Pages \_\_\_\_–\_\_\_\_  
“\_\_\_\_\_” (in collaboration with co-author, \_\_\_\_\_)

MM DD, YYYY

Co-author (Research collaborator)

Name \_\_\_\_\_ (seal)

*(Sign full name)*

\* UTokyo Repository is a system intended to digitally collect and store the various research findings produced by members of the University of Tokyo and make them publicly available, both to those inside the University and outside of it.. ([http://repository.dl.itc.u-tokyo.ac.jp/index\\_e.html](http://repository.dl.itc.u-tokyo.ac.jp/index_e.html))

- \* The descriptions for those parts composed jointly with a coauthor must be the same as described in Section 2. “Date and Name of Printed Publication” in the List of Previous Publications and Related Papers.