

博士の学位審査に関する内規

Internal Rules Concerning the Screening of Doctoral Degrees

化学システム工学専攻 Department of Chemical System Engineering

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(目的) Objective

1. 本内規は、化学システム工学専攻における課程博士ならびに論文博士の学位審査に必要な事項を定めるものである。本内規に規定のない事項については、東京大学大学院学則、東京大学学位規則ならびに工学系研究科博士の学位審査に関する内規、工学系研究科における課程博士の論文審査プロセスに関する要項についての申合せに従うものとする。

These rules prescribe the matters necessary for the screening of doctoral degrees (Course) and doctoral degrees (Dissertation) in the Department of Chemical System Engineering. Matters not stipulated in these rules shall be in accordance with The University of Tokyo Rules on Graduate School, The University of Tokyo Rules on Academic Degree, the Graduate School of Engineering Doctoral Degree Screening rules, and the Graduate School of Engineering Doctoral Thesis Screening Process Guidelines.

(審査会) Screening session

2. 学位審査は予備審査および本審査の二段階で行う。いずれの審査会も公開とする。指導教員は、各審査に先立ち、専攻会議において以下の条件を満たすことを示し、予備審査請求および本審査請求を行わなければならない。また、所定のプロセスを経て審査および審査報告を行わなければならない。

The degree screening will be conducted in two stages: a preliminary defense and a final defense. Both defense sessions are open to the public. Prior to each defense, the supervisor must indicate that the following conditions are met in the department meeting, and submit a request for preliminary defense and a request for final defense to the department meeting. The screening and report of the defense must also be made through the prescribed process.

3. **予備審査**を行うための条件およびプロセスは以下の通りとする。
 - 博士論文の骨格ができていること。
 - 課程博士の場合、博士論文中間発表会で発表し、質疑応答を行っていること。
 - 論文博士にあつては、論文を提出する時点で学部卒業後 7.5 年以上、修士修了後 4.5 年以上の研究歴を有すること。
 - 論文博士にあつては、予備審査請求を行う前に、予備審査委員候補者が事前審査委員会を組織し、申請予定者の研究経歴、研究業績および申請論文内容等について十分な事前審査を実施し、それをもとに事前審査委員会として予備審査請求の可否を判断すること。
 - 予備審査にあたって、論文提出者は、審査資料として論文に記述予定の内容に関する要旨と同時に学位論文草稿を提出しなければならない。
 - 予備審査の結果は、博士論文予備審査委員会審査票に記入し、予備審査委員全員に回覧し審査委員全員による合議を経て合否を決定する。
 - 主査は、予備審査結果を「予備審査の結果の要旨」にまとめ、常務委員に提出する。
 - 常務委員は、「予備審査の結果の要旨」を専攻会議に配布し審査結果を付議する。主査は「予備

審査の結果の要旨」を専攻会議で説明する。専攻会議で審議を行い、予備審査の可否を決定する。

The requirements and process for conducting a preliminary defense shall be as follows:

- The basic structure of the doctoral thesis must be completed.
- For a doctoral degree (Course), the candidate must have made a presentation and discussions at the mid-term presentation of doctoral theses.
- For a doctoral degree (Dissertation), the candidate must have research experience at least 7.5 years after receiving bachelor degree or 4.5 years after receiving master's degree at the time of submission of the dissertation.
- For a doctoral degree (Dissertation), before submitting a request for preliminary defense, the prospective preliminary screening committee members should organize a prior screening committee and conduct a prior screening of the prospective candidate's research background, research achievements, and the content of the dissertation, etc. Based on this prior screening, the prior screening committee will determine whether the request for preliminary defense is acceptable.
- For the preliminary defense, the candidate must submit a draft thesis as well as an abstract of the thesis for the screening.
- The results of the preliminary defense shall be described on the Doctoral Thesis Preliminary Screening Committee Evaluation Sheet, which shall be circulated to all members of the preliminary screening committee, and a decision of acceptance or rejection shall be made by a consultation of all members of the preliminary screening committee.
- The chief committee shall summarize the results of the preliminary defense in a "Summary of Preliminary Defense Results" and submit it to the Managing Director.
- The Managing Director distributes the "Summary of Preliminary Defense Results" to the department meeting and discuss the results of the defense. The chief committee explains the "Summary of Preliminary Defense Results" at the department meeting. The department meeting will decide whether the preliminary defense is successfully completed or not.

4. **本審査**を行うための条件およびプロセスは以下の通りとする。

- 本審査に先立って原則として2か月以上前に予備審査が行われ合格していること。
- 本審査に先立って1か月以上前に学位請求論文が審査委員全員に配布されていること。
- 既にアクセプトされている博士論文の中核をなす筆頭著者の報文が1報以上あること。
- アクセプトされている筆頭著者の報文が2報以上あること。ただし、2報目以降は審査委員会の承認を得れば、共著者論文も筆頭著者論文として扱うことができる。
- 筆頭著者が複数の場合（**equally contributed** 等）は、審査委員会の承認を得れば、それぞれの筆頭著者の報文として扱うことができる。
- 本審査は委員の5分の4以上の出席を持って開催する。
- 本審査において剽窃チェックの結果を回覧し、審査委員全員で確認を行う。
- 本審査の結果は、博士論文本審査委員会審査票に記入し、審査委員全員に回覧し審査委員全員による合議を経て可否を決定する。
- 論文の修正等が本審査の合格の条件とされた場合は、その合格の条件が満たされていることを、審査委員全員で確認し、その後に本審査の合格とする。
- 本審査に合格した場合は、主査は「審査の結果の要旨」を作成し、審査委員全員に配布する。審査委員全員による合議の上、修正が必要な場合はそれを施し、「審査の結果の要旨」に対する審査委員全員の合意を得る。その後、主査は「審査の結果の要旨」を常務委員に提出する。
- 常務委員は、「審査の結果の要旨」を専攻会議に配布し審査結果を付議する。主査は「審査の結果の要旨」を専攻会議で説明するとともに論文の写しも専攻会議で回覧し審議を行う。専攻会議で論文の可否を決定する。

The requirements and process for conducting a final defense shall be as follows:

- In principle, a preliminary defense must have been conducted and passed at least two months prior to the final defense.
- The thesis must have been distributed to all members of the final screening committee at least one month prior to the final defense.
- At least one first-author paper that is a core element of the doctoral thesis has already been accepted for publication.
- At least two first-author papers have already been accepted for publication. For the second paper or later, however, a co-author paper(s) may also be treated as a first-author paper(s) if approved by the final screening committee.
- If there are multiple first authors in a single paper (e.g., equally contributed), it may be treated as a first-author paper for each first author if approved by the final screening committee.
- The final defense shall be held with the attendance of at least four-fifths of the final screening committee members.
- The results of the plagiarism check will be circulated during the final defense and confirmed by all members of the final screening committee.
- The results of the final defense shall be described on the Doctoral Thesis Final Screening Committee Evaluation Sheet, which shall be circulated to all members of the final screening committee, and a decision of acceptance or rejection shall be made by a consultation of all members of the final screening committee.
- If revisions etc. to the thesis are made to the thesis as a condition for passing the final defense, all members of the final screening committee shall confirm that the conditions for passing the final defense have been met, after which the thesis shall pass the final defense.
- If the thesis passes the final defense, the chief committee will prepare a "Summary of Final Defense Results" and distribute it to all members of the final screening committee. After discussion among all the members of the final screening committee, the chief committee shall make any necessary modifications and obtain the agreement of all the members of the final screening committee on the "Summary of Final Defense Results". The chief committee then submits the "Summary of Final Defense Results" to the Managing Director.
- The Managing Director distributes the "Summary of Final Defense Results" to the department meeting and discuss the results of the defense. The chief committee explains the "Summary of Final Defense Results" at the department meeting and also circulates a copy of the thesis to the department meeting. The department meeting will decide whether the final defense is successfully completed or not.

5. 指導教員がアクセプトされることが確実と判断した場合、上記報文数を満たす前に本審査を実施できるが、工学系研究科教育会議への学位授与請求は、報文がアクセプトされた時点で行うものとする。

If the supervisor judges that it is certain to be accepted, the final defense may be conducted before the above number of papers is met. However, the claim for the award of the degree to the Graduate School of Engineering Education Council shall be made at the time the paper(s) are accepted.

6. 以下の学術論文を報文として認めることができる。

[論文誌] 査読により掲載の可否を決める、定期的に発行される評価の高い論文雑誌。当専攻で学位請求に使われた実績のない雑誌は専攻会議で回覧の上、承認を得ること。総説は原則として認めない。

[国際会議のプロシーディング] 原則として認めない。ただし、継続的に開催され査読のある評価の高い国際会議のプロシーディングで、他の論文との重複がない場合に報文として認めることができる。その場合、指導教員が専攻会議にてその会議の評価が高いことなどを説明し、了承されることが必要である。

The following academic articles may be accepted as papers:

[Journal] A highly regarded journal that is published periodically and whose publication is determined by peer review. Journals that have not been used for degree claims in this department should be circulated at the

department meeting for approval. In principle, review articles are not acceptable.

[Proceedings of an International Conference] In principle, it is not acceptable. However, if the paper is a proceedings of a highly rated international conference held continuously and peer-reviewed, and if there is no overlap with other papers, it may be accepted as a paper. In such cases, the supervisor must explain the high reputation of the conference at the department meeting and obtain approval.

(審査委員会) Screening Committee

8. 審査委員会は化学システム工学専攻教員 3 名以上、専攻外委員 1 名以上、計 5 名以上で構成する。ただし、審査委員の定年退職や異動等の事情が発生した場合には、本審査に合格後、論文アクセプト待ちの期間に限り、この要件を必ずしも満たす必要はない。

The screening committee shall consist of at least three faculty members in the Department of Chemical System Engineering and at least one in another department, for a total of at least five members. However, in the event of circumstances such as retirement or transfer of a member of the screening committee, this requirement need not necessarily be fulfilled only during the period of waiting for acceptance of the paper(s) after passing the final defense.

9. 指導教員も含め、実質的に論文指導にあたった教員を審査委員に加える場合、「当専攻 3 名」もしくは「専攻外 1 名」の最低数には算入しないものとする。

When faculty members who have substantially supervised the thesis, including the supervisor, are added to the screening committee, they shall not be counted in the minimum number of "three in the Department of Chemical System Engineering " or "one in another department".

10. 学位請求者の 5 親等以内の親族は審査委員になることはできない。

A relative within the candidate's fifth degree cannot be a member of the screening committee.

11. 指導教員は予備審査、本審査にあたって審査委員の候補者名簿を、選出理由を付して常務委員に提出し、常務委員はこれを専攻会議に付議し、承認を得るものとする。

The supervisor shall submit a list of potential screening committee members, along with the reasons for their selection, to the Managing Director for preliminary and final defense, and the Managing Director shall submit the list to the department meeting for approval.

12. 審査委員会は、指導教員あるいは実質的に論文指導にあたった教員以外の委員を司会に任命し、議事進行を行わせるものとする。

The screening committee shall select the chairperson other than the supervisor or the faculty member who has substantially supervised the thesis to proceed the defense sessions.

13. 審査委員会主査は、審査委員の互選により選出する。

The chief committee shall be elected mutually by the screening committee members.

(学位取得年限に関する特例) Special Provisions Concerning the Time Limit for Acquiring a Degree

課程在学中に行った研究を本人が筆頭著者となって取りまとめた原著論文が、国際的なリーディングジャーナルに掲載されているなど顕著な業績が認められる場合、その指導教員の専攻会議への発議により、3 年未満の在学期間で学位の審査を受けられるものとする。その場合は、学位取得の 7 か月以上前に指導教員が専攻会議で説明し、承認を得るものとする。

If an original research paper compiled by the candidate as the first author on research conducted while in the doctoral program is recognized as an outstanding achievement, such as being published in a leading international journal, the candidate's supervisor may propose to the department meeting to have the screening degree after less than three years of enrollment. In such cases, the supervisor shall explain the situation at the department meeting and obtain approval at least seven months before the degree is awarded.