Procedures for making doctoral theses available to the public via the Internet

Graduate School of Medicine, The University of Tokyo
Doctoral Thesis Internet Publication Preparation Working Group
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In the past, doctoral theses have been made available to the public only as printed, hard-copy, paper documents. Following a ministerial ordinance from the Ministry of Education, Culture, Sports, Science and Technology titled *gakui kisoku no ichibu wo kaisei suru shourei* (学位規則の一部を改正する省令) , which was promulgated on March 11, 2013, doctoral theses must now be made available to the public not as printed documents but instead via the Internet. Effective April 1, 2013, the ordinance states that, to promote electronic open access to the results of education and research, recipients of doctoral degrees must make the theses that they submitted for those degrees available to the public via the Internet.

Please follow the procedures described below in accordance with that ordinance. Refer also to the separate document titled "Flowchart of procedures for making doctoral theses available to the public via the Internet."

Section I.

Submission of final version of the doctoral thesis as a "Full-text PDF" (required of all recipients of doctoral degrees):

Upon receiving from the head of the thesis committee a form (the *shinsa kekka houkoku youshi* 審査結果報告用紙) indicating that the doctoral thesis has been examined and approved, the new recipient of a doctoral degree is required to submit, as one of the documents submitted in the final procedures for obtention of the doctoral degree, a full-text version of the final doctoral thesis as a PDF document (hereinafter referred to as the "Full-text PDF"). Refer also to the separate document titled "*kongo no tetsuzuki ni tsuite* 3.IV (今後の手続きについてー３．の IV)" This Full-text PDF will be included in the UT Repository (<http://repository.dl.itc.u-tokyo.ac.jp/index_e.html>) to make the results of research widely available to the public via the Internet.

However, it is in some cases permissible to submit instead a PDF of a summarized version of the final thesis (hereinafter referred to as a "Summary PDF"), but only if the Graduate School of Medicine determines that there is a particular unavoidable reason for doing so (i.e., an "exception"). Refer to the list of exceptions, which is near the end of this document. These procedures are approved for all theses to be made available to the public via the Internet. Submission of a Full-text PDF is therefore required; what the National Diet Library previously made available as bound, hard-copy (paper) versions of theses will now be supplied in PDF format; the full-text of the thesis will continue to be made available to the public.

Note that procedures differ depending on whether, at the time of the thesis committee's final report, all or part of the doctoral thesis had already appeared in a scholarly journal or other such medium. For details, refer to sections II, III, and IV below. Because parts of another academic work (or works) may have been copied and pasted inadvertently into doctoral thesis, it is also recommended that a check be made using search software (iThenticate is available for supervisor at the Graduate School

of Medicine, the University of Tokyo) to ensure that no copied & pasted passages are in their final versions.

Section II.

Entire thesis already published in (or accepted for publication by) a scholarly journal or other such medium:

Note: Follow the procedures described in section III below if part of the thesis has not yet appeared in (or been accepted by) a scholarly journal or other such medium.

From all co-authors (research collaborators) and copyright holders, obtain permission for the doctoral thesis as a whole to be made available to the public via the Internet. Such permission may be obtained via e-mail or via any other method that produces a lasting written record. Read the following notes carefully, and submit the documents described in section ii-(1) or ii-(2), as appropriate.

Note #1: If any corrections to the thesis have been made since the time the application was submitted and if any such corrections are related to issues involving co-authors (research collaborators), then you must inform the co-authors concerned and the copyright holders to obtain their permission. Each such person and copyright holder should be given copies of the document describing the UT Repository (the toukyou daigaku gakujyutsu kikan ripojitori (UT Repository) no shoukai 東京大学学術機関リポジトリ(UT Repository)の紹介) and of the document titled toukyou daigaku gakujyutsu kikan ripojitori e no teikyou ronbun riyou kyodaku youken (東京大学学術機関リポジトリへの提供論文利用許諾要件). An English version of the latter is titled "Requirements for Permission of Utilizing Papers Presented to the University of Tokyo Academic Institutional Repository (UT Repository)" and it can be found at <http://repository.dl.itc.u-tokyo.ac.jp/docs/utr-agreement_e.pdf>.

Note #2: If copyright has been transferred to a publishing company or other such organization, then it must be checked whether inclusion of the thesis in the UT Repository would constitute duplicate publication, or whether it would require payment of fees to the copyright holders. The doctoral degree applicant will be responsible for paying any such fees. Verification is important because failure to obtain permission from copyright holders might subsequently entail large fees for the use of copyrighted material, which must be paid by the doctoral degree applicant.

Note #3: If, as part of any corrections or other modifications made to the thesis since the time the application was submitted, those changes included the use of any data, etc. obtained from a third party, then it must be confirmed whether permission has or has not been granted by the third party to include the thesis in the UT Repository.

ii-(1) If permission is obtained (i.e., permission from the author of the thesis, co-authors (collaborating researchers), and copyright holders):

Before the Full-text PDF can be included in the UT Repository, submit one copy of each of the following documents.

1. Consent form (*kyodaku sho* 許諾書), which must be signed by the author of the thesis and by the thesis supervisor,
2. Confirmation form regarding public availability via the Internet of a doctoral thesis

(*hakase ronbun inta-netto kouhyou ni kan suru kakunin hyou* 博士論文インターネット公表に関する確認票).

On the basis of these two documents, the Full-text PDF will be included in the UT Repository and will thus be available to the public via the Internet, and will also be made accessible at the National Diet Library.

ii-(2) If permission is not obtained:
Submit one copy of each of the following documents to initiate an examination as to whether the conditions have been met for including only a Summary PDF in the UT Repository:
1. Consent form (*kyodaku sho* 許諾書), which must be signed by the author of the thesis and by the thesis supervisor,
2. Confirmation form regarding public availability via the Internet of a doctoral thesis (*hakase ronbun inta-netto kouhyou ni kan suru kakunin hyou* 博士論文インターネット公表に関する確認票),
3. Request to make a summary publicly available (*youyaku kouhyou no shinsei sho* 要約公表の申請書),
4. Documentation explaining precisely why the use of a Summary PDF is unavoidable (for which there is no set form),
5. The Summary PDF, which is described at the end of this document,
6. Permission form for use of a bound copy of a thesis (*seihon ronbun riyou kyodaku sho* 製本論文利用許諾書),
7. A complete, bound, hard-cover, durable, paper copy of the thesis. If the doctoral work comprised a thesis only, then submit two such copies.

Note: If the request to use only a Summary PDF is not granted, then the items described above in #6 and #7 will be returned to the doctoral degree applicant.

If the request under ii-(2) to use only a Summary PDF is granted, then the Summary PDF will be included in the UT Repository and thus will be available to the public via the Internet. The Full-text PDF will also be available to the public at the National Diet Library, and the complete, bound, paper version will be available either only at the Medical Library of the University of Tokyo (if the doctoral work included coursework), or at the General Library and also at the Medical Library of the University of Tokyo (if the doctoral work comprised a thesis only).

Note that, in principle, absent permission to use only a Summary PDF, the Full-text PDF will be made available to the public via the Internet.

Section III.

Thesis or parts of thesis not yet published in (or accepted by) a scholarly journal or other such medium:

Obtain permission from all co-authors (research collaborators) for a summary of the doctoral thesis to be made available to the public via the Internet.
Such permission may be obtained via e-mail or via any other method that produces a lasting record. Read the following “Notes” carefully, and submit the documents described below in sections 1 through 7.

Note #1: If any corrections to the thesis have been made since the time the application was submitted and if any such corrections are related to results/discussion involving co-authors (research collaborators), then the co-authors concerned and the copyright holders must be informed and their permission obtained. Each such person and copyright holder should be given copies of the document describing the UT Repository (the toukyou daigaku gakujyutsu kikan ripojitori (UT Repository) no shoukai 東京大学学術機関リポジトリ(UT Repository)の紹介) and of the document titled toukyou daigaku gakujyutsu kikan ripojitori e no teikyou ronbun riyou kyodaku youken (東京大学学術機関リポジトリへの提供論文利用許諾要件). An English version of the latter is titled "Requirements for Permission of Utilizing Papers Presented to the University of Tokyo Academic Institutional Repository (UT Repository)" and it can be found at <http://repository.dl.itc.u-tokyo.ac.jp/docs/utr-agreement_e.pdf>.

Note #2: If copyright has been transferred to a publishing company or other such organization, then it must be determined whether inclusion of the thesis in the UT Repository would constitute duplicate publication, or whether it would require payment of fees to the copyright holders. The doctoral degree applicant will be responsible for paying any such fees. Verification is important because failure to obtain permission from copyright holders might subsequently entail large fees for the use of copyrighted material, which must be paid by the doctoral degree applicant.

Note #3: If, as part of any corrections or other modifications made to the thesis since the time the application was submitted, those changes included the use of any data etc. obtained from a third party, then it must be confirmed whether permission has or has not been granted by the third party to include the thesis in the UT Repository.

After permission has been given by the author of the thesis and by co-authors (collaborating researchers), submit one copy of each of the following documents to confirm that the conditions have been met for including only a Summary PDF in the UT Repository.

1. Consent form (*kyodaku sho* 許諾書), which must be signed by the author of the thesis and by the thesis supervisor,
2. Confirmation form regarding public availability via the Internet of a doctoral thesis (*hakase ronbun inta-netto kouhyou ni kan suru kakunin hyou* 博士論文インターネット公表に関する確認票),
3. Request to make a summary publicly available (*youyaku kouhyou no shinsei sho* 要約公表の申請書),
4. Documentation explaining precisely why the use of a Summary PDF is unavoidable (for which there is no set form, but note that if the reason involves a patent then other procedures will also be required. For detailed information, please contact Graduate Student Affairs Section (Daigakuin kakari)),
5. The Summary PDF, which is described at the end of this document,
6. Permission form for use of a bound copy of a thesis (*seihon ronbun riyou kyodaku sho* 製本論文利用許諾書),
7. A complete, bound, hard-cover, durable, paper copy of the thesis. If the doctoral work comprised a thesis only, then submit two such copies.

Note: If the request to use only a Summary PDF is not granted, then the items described above in #6 and #7 will be returned.

If the request to use only a Summary PDF is granted, then the Summary PDF will be included in the UT Repository and made available to the public via the Internet. If, however, the reason why this is unavoidable is planned publication (item 8 in the list of exceptions below), then the Summary PDF will be made available with a delay of one year counting from the date of obtention of the degree. If, however, the reason for the delay no longer exists, then the procedures described below in section IV are to be carried out. The Full-text PDF will be available only at the National Diet Library, and the complete, bound, paper version will be available either only at the Medical Library of the University of Tokyo (if the doctoral work included coursework), or at the Medical Library and also at the General Library of the University of Tokyo (if the doctoral work comprised a thesis only). However, if item 9 (regarding patents) in the list of exceptions below applies, then the Full-text PDF will not be disclosed to the public until item 9 no longer applies. Notification of the end of the non-disclosure period is required.

Note that, in principle, absent permission to use only a Summary PDF, the Full-text PDF will be made available to the public via the Internet.

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If an exception is requested only because of planned publication (item 8 in the list of exceptions below, and including circumstances in which part of the thesis has been published and consent has been obtained), then read and confirm the procedures described in sections IV and V below.

If an exception is requested for some reason other than the one described in item 8 (in the list below), then a final decision will follow from the procedures described above in section III, and the procedures described in sections IV and V below will not be necessary.

Section IV.

Thesis published in a scholarly journal or other such medium after completion of section III procedures (including thesis accepted for publication but still waiting to be published):

Once the thesis has been accepted by a scholarly journal or other such medium, obtain permission from co-authors (collaborating researchers) and the copyright holders for the whole thesis to be made available to the public via the Internet. Such permission may be obtained via e-mail or via any other method that results in a written record.

Read the following “Note” carefully, and submit the documents described in section iv-(1) or iv-(2), as appropriate.

Note: If copyright has been transferred to a publishing company or other such organization, then it must be checked whether inclusion of the thesis in the UT Repository would constitute duplicate publication, or whether it would require payment of fees to the copyright holders. The doctoral degree applicant will be responsible for paying any such fees. Verification is important because failure to obtain permission from copyright holders might subsequently entail large fees for the use of copyrighted material, which must be paid by the doctoral degree applicant.

iv-(1) If permission is obtained from the author of the thesis, co-authors (collaborating researchers), and the copyright holders:
To proceed inclusion of the Full-text PDF in the UT Repository, submit one copy of each of the following documents.
1. Notification of change in consent form (*kyodaku sho henkou todoke* 許諾書変更届), which must be signed by the author of the thesis and by the thesis supervisor,
2. Confirmation form regarding public availability via the Internet of a doctoral thesis (*hakase ronbun inta-netto kouhyou ni kan suru kakunin hyou* 博士論文インターネット公表に関する確認票).

On the basis of these two documents, the Full-text PDF will be included in the UT Repository and will thus be available to the public via the Internet, and will also be made accessible at the National Diet Library.

iv-(2) If permission is not obtained:
A decision will be made regarding whether the conditions have been met for including in the UT Repository only a Summary PDF. For that decision, submit one copy of each of the following documents.
1. Consent form (*kyodaku sho* 許諾書), which must be signed by the author of the thesis and by the thesis supervisor,
2. Confirmation form regarding public availability via the Internet of a doctoral thesis (*hakase ronbun inta-netto kouhyou ni kan suru kakunin hyou* 博士論文インターネット公表に関する確認票),
3. Request to make a summary publicly available (*youyaku kouhyou no shinsei sho* 要約公表の申請書),
4. Documentation explaining precisely why the use of a Summary PDF is unavoidable (for which there is no set form).

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If permission is granted, then the final decision will be made to include the Summary PDF in the UT Repository and thus make it available to the public via the Internet after the delay period. The Full-text PDF will also be available to the public at the National Diet Library, and the complete, bound, paper version will be available either only at the Medical Library of the University of Tokyo (if the doctoral work included coursework), or at the General Library and at the Medical Library of the University of Tokyo (if the doctoral work comprised a thesis only).

Note that, in principle, if permission to use the Summary PDF only is not granted then the Full-text PDF will be made available to the public via the Internet.

Section V.

Thesis still unpublished one year after obtention of doctorate:
Carry out the following procedures without fail if, one year after obtention of the degree, the thesis remains unpublished in a scholarly journal or other such medium or if one is unable to perform the procedures described in section IV.

v-(1) If an official request has been made to extend the delay in making the summary publicly available:
If an application to extend the delay in making the summary publicly available has been submitted, then the delay period (1 year from the time that the degree is granted)

may be extended by 1 more year. Application for extension of the delay must be submitted to the office of the Graduate School within one month before the end of the delay period. Application for further extension of the delay may also be submitted; the maximum total delay period, however, is 5 years after the date on which the degree was granted.

Upon publication of the thesis in a scholarly journal or other such medium during the delay period, the procedures described in section IV above must immediately be carried out.

v-(2) If an official request has not been made to extend the delay in making the summary publicly available:
If the thesis remains unpublished one year after obtention of the doctorate without submission of a request for extension of the delay, or without a subsequent submission of an application for further extension of the delay more than one year after the date on which the degree was granted, then the Full-text PDF will automatically be made available to the public via the Internet. Note that if 5 years have passed since the date on which the degree was granted, then no further extensions are possible and the Full-text PDF will automatically be made available to the public via the Internet.

Nonetheless, exceptions are still possible even after those 5 years have passed, and those exceptions could still result in the Full-text PDF not being made available to the public via the Internet.

List of exceptions recognized by the University of Tokyo

1: The doctoral thesis includes content that is incompatible with Internet publication (for example, a 3-dimensional physical structure).
2: The doctoral thesis contains material (for example, figures and tables) produced by someone other than the author of the thesis and permission to make that material available to the public via the Internet has not been obtained from the copyright holders.
3: All or part of the doctoral thesis is the product of more than one person (co-authors) and permission to make it available to the public via the Internet has not been obtained from all co-authors.
4: Because of the need to protect personal information regarding people on whom experiments were done or on whom observations were made, it would be improper to make some parts of the thesis available to the public via the Internet.
5: All or part of the doctoral thesis has already appeared in a scholarly journal or other such medium, and contractual obligations require permission before it can be made available to the public via the Internet, but such permission has not been obtained.
6: All or part of the doctoral thesis has already been published in a book or other such medium, and contractual obligations require permission before it can be made available to the public via the Internet, but such permission has not been obtained.
7: All or part of the doctoral thesis is already under contract for publication, and contractual obligations require permission before it can be made available to the public via the Internet, but such permission has not been obtained.
8: It is planned to publish all or part of the doctoral thesis as a book or in a journal or other such medium.
9: Because a patent has been applied for, the thesis can not be made available to the

public for a certain period of time.
10: For some other special reason, the thesis can not be made available to the public via the Internet.

Summary PDFs

If, due to an exceptional circumstance, a Summary PDF only is used, then, although some sections may need to be redacted (by being blackened out or by being deleted), still the version to be made publicly available should be as similar as possible to the full-text version of thesis. During the first year of transition to the new practices, the Summary of the Content of the Thesis (*ronbun no naiyou no youshi* 論文の内容の要旨) can be used as is for the Summary PDF. In preparing your submission, make a PDF electronic document file containing the same information as the Summary of the Content of the Thesis (*ronbun no naiyou no youshi* 論文の内容の要旨) and name this new document file "Summary of Doctoral Thesis" (*hakase ronbun no youshi* 博士論文の要約).
When you submit the Summary PDF, its first page should be the same as the first page of the Complete PDF (that is, it should be the same as the hakase ronbun (youyaku) 博士論文(要約)), and you should print out and submit one hard-copy paper version of that page.

Further details concerning the permission form for use of a bound copy of a thesis (*seihon ronbun no riyou ni kansuru kyodaku sho* 製本論文の利用に関する許諾書)

This applies only to those those who submit a bound copy of a thesis. If the doctoral work included coursework, then submit one copy of that form (i.e., the *seihon ronbun no riyou ni kansuru kyodaku sho* 製本論文の利用に関する許諾書). If the doctoral work comprised a thesis only, then submit two copies of that form, one of which may be a photocopy.
Once that form has been submitted, then, whether the bound copy is held by the General Library or the Medical Library, the same rules and conditions for its use will be applied.
However, regarding theses for which degrees were granted in the 2013 academic year, if permission to make a copy of the entire thesis has not been granted then the Medical Library will allow copying of the Table of Contents only.