

Guidelines for Thesis Submission
by Doctoral Course Candidates
Doctoral Programs

<To be Implemented in FY 2019 (Draft)>

Graduate School of Public Policy

as of March, 2018

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1. Numbers and Application Documents to be Submitted

- A4-size paper must be used.
- All electronic data to be submitted must be stored on a single USB memory stick.

Description	Format	# copies	Notes
1) Title of Doctoral Thesis	designated form	1	This document is required to submit one month earlier than other items. See 2.
2) Doctoral thesis application number card	designated form	1	
3) Thesis printed; simple book binding	---	5	if Thesis Defense Committee is comprised of more than five members, copies for all Thesis Defense Committee members
4) Thesis Summary	---	8	if the Thesis Defense Committee is comprised of more than five members, copies for all Thesis Defense Committee members + three extra copies
5) Thesis Summary	digital data	1	PDF file and MS Word or text file
6) Résumé	designated form	3	2 originals and 1 photocopy
7) Thesis Table of Contents	designated form	3	2 originals and 1 photocopy
8) Pledge	designated form	2	1 original and 1 photocopy

Followings are documents to be submitted if applicable.

- Reference Articles : 5 copies*
*if Thesis Defense Committee is comprised of more than five members, copies for all Thesis Defense Committee members are needed.
- Letter of Consent and Acceptance : 2 (1 original and 1 photocopy)

2. Submission Deadlines and Notes

- 1) Submit the application documents listed above in person to the GraSPP Graduate School Office on the 13th floor of the International Academic Research Building, Hongo Campus.
- 2) Submission deadlines are firm, and the office shall NOT accept applications AFTER the submission period for any reason.
- 3) For the academic year 2019, the submission periods are as follows, depending on the scheduled completion date of the doctoral course of each applicant:

Candidates who will graduate on *August, 2019*

Title of Doctoral Thesis	Thesis and other documents	Place (office hours)
Friday, 29 March, 2019	Tuesday, 30 April, 2019	GraSPP Graduate School Office (9:30-11:30, 13:30-16:30)

Candidates who will graduate on *March, 2020*

Title of Doctoral Thesis	Thesis and other documents	Place (office hours)
Thursday, 31 October, 2019	Friday, 29 November, 2019	GraSPP Graduate School Office (9:30-11:30, 13:30-16:30)

3. General Instructions

- 1) According to the revised Degree Regulations of Japan, recipients of an academic degree in or after academic year 2013 are required to publish their doctoral theses on the Internet, in principle, with the cooperation of their universities. In such publication, the copyright of each thesis remains with the author, and the university is to publish each thesis with the author's approval. Since publication of a doctoral thesis is stipulated by the Degree Regulations as the duty of the degree holder, Japanese universities are now obligated to cooperate in such publication.

More details about the publication of a thesis are explained in the relevant sections of these Guidelines compiled in the separate documents: 8. *Guide for Doctoral Thesis and Copyrights* and 9. *Procedures for Publication of Doctoral Thesis*. Before starting to write your thesis, read and understand the instructions in those documents to avoid any problems and to enable you to fulfill your duty of publishing your thesis. Be sure to confirm the contents of the separate documents since important instructions are included.

- 2) The front cover of the thesis and all other application documents must bear the title of the thesis, identical in character size (half-width characters or full-width characters), usage of signs or symbols, spacing, superscript or subscript numerals, as well as any Japanese translation of the thesis title and other matters. Only three patterns are acceptable for the format of the thesis title: (1) Japanese title only, (2) Japanese title (English title), or (3) English title (Japanese title).
- 3) On the front cover of the thesis and all other application documents, your name must be written in kanji characters if you are a Japanese applicant or a non-Japanese applicant having a kanji name. In all other cases, the applicant's name must be written in katakana characters. Your name may be added in roman letters. If you use old kanji characters, modern Chinese characters, or other non-standard characters that are not officially incorporated into the list of “regular use kanji” taught in the Japanese education system, you must use those non-standard characters consistently in all related documents.
- 4) All doctoral theses must be checked with software that inspects documents for possible plagiarism. Faculty supervisors, in principle, must perform the inspection and submit a confirmation form to GraSPP Graduate School Office attesting to the completion of a plagiarism inspection by the Final Review.

4. Documents to be Submitted

① Title of Doctoral Thesis (designated form)

- 1) The Title of Doctoral Thesis Form must be submitted by the specified deadline with the approval of the supervisor.
- 2) Candidates who have submitted the Title of Doctoral Thesis Form and are unable to submit their thesis or wish to change the title of their thesis must notify the GraSPP Graduate School Office in the specified format before the deadline for submitting the thesis.

② Doctoral thesis application number card (designated form)

③ Thesis (and reference articles)

- 1) A doctoral thesis must, as a rule, be written in English. However, a thesis may be written in Japanese depending on the topic of research. Please note that submission of a thesis in Japanese requires prior approval by the supervisor and the Education Council. There is no limit on the minimum/maximum number of words/characters for a thesis.
- 2) The thesis must be printed and bound into a simple book form. Use double-sided printing. Write the title of the thesis and your name on both the front and the spine of the thesis book. Only three patterns are acceptable for the format of the thesis title: (1) Japanese title only, (2) Japanese title (English title), or (3) English title (Japanese title). A non-Japanese applicant who has a kanji (Chinese characters) name must write his/her name in kanji. A non-Japanese applicant from a country in which kanji are not used must write his/her name in katakana. Your name may be added in roman letters.
- 3) The style of the thesis shall be as follows depending on the discipline:
 - Discipline of economics: The thesis shall be written in accordance with the Chicago Manual of Style and by reference to comments by the supervisor (and collaborating professor) and previously submitted theses at the Graduate School of Economics.
 - Discipline of law and politics: The thesis shall be written in accordance with the Chicago Manual of Style and by reference to comments by the supervisor (and collaborating professor).

4) Prepare thesis as follows:

font: Times New Roman, 1.5 line-space, font-size: 12pt*.

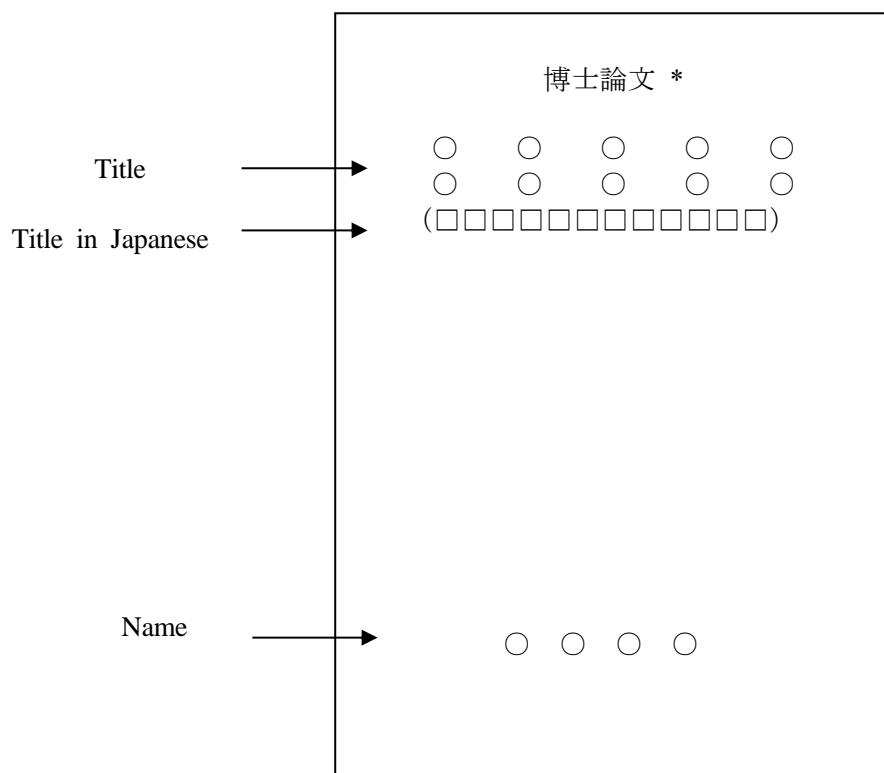
*As for the font-size, you may use smaller point-type when you put Notes, Remarks and so on.

- 5) The thesis (in a simple book form) must be A4 size and must be bound in a form not allowing removal or insertion of pages (A flat file is acceptable provided that pages cannot be removed from the file). After the final thesis defense, the thesis bound into a hardbound form must be submitted by the announced due date. For details, including due dates, see Section 5 of these Guidelines.
- 6) Reference articles (to be submitted only if necessary; usually not required).
You may submit another article written by you in the past, in addition to your doctoral thesis, if considered necessary as a reference in the course of your doctoral thesis review even though it does not constitute an integral part of your doctoral thesis. Whether or not a reference article is to be submitted should be decided in consultation with your faculty supervisor. The title of the reference article and your name must be typed on the front cover and

spine, with the text **Reference Article** typed above the title. It is not necessary to add a Japanese translation of the title. Do not submit any article that is not related to your doctoral thesis.

- 7) The thesis must have a table of contents with page numbers.

(sample: front page and the first page of PDF file)



*The title for a thesis abstract in PDF format submitted after the final review and that for works submitted for reference must be written as “Doctoral Thesis (Abstract)” and “Works for Reference,” respectively.

④ Thesis Summary

- 1) The thesis summary must be printed on A4-size paper using a 12-point type in horizontal writing. All pages must be single-side printed and held together with a clip.
- 2) A summary written in English must be limited to 2,000 words; a summary in Japanese limited to 4,000 characters. Charts, diagrams, chemical symbols or other figures, if any, must be clearly printed or photocopied. The summary is to be limited to 4 pages, including the title, text, and all figures.
- 3) As illustrated in the following sample, the document title *Thesis Summary*, the title of the thesis, and your name must be typed in the upper part of the first page. Only three patterns are acceptable for the format of the thesis title: (1) Japanese title only, (2) Japanese title (English title), or (3) English title (Japanese title). The main text of the thesis summary should follow below your name on the first page.
- 4) A digital PDF file of the thesis summary must be created in accordance with the *Guide for Creating PDF Files to Register with UTokyo Repository* separately prescribed for the purpose of Internet publication. The original summary must be created in MS Word format and converted into a PDF file.
- 5) The digital PDF file of the thesis summary must be named *Applicant's name_Summary.pdf*. The MS Word document file must be named *Applicant's name_Summary.docx*.

- 6) The date of Résumé (bottom left of form) must be the last day of the thesis submission period.
- 7) Your signature and seal (if available) must be affixed in the designated place (bottom right) on the official form. Signatures written using roman letters are not acceptable. A non-Japanese applicant who does not have a kanji name must sign Résumé in katakana.

(sample)

Notification Number	UTokyo #
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Résumé

Name	ホンゴウ タロウ 本郷 太郎 Taro Hongo	Male
Date of Birth	MMMM DD, YYYY	
Address (in Japan)	7-3-1 Hongo, Bunkyo-ku, Tokyo	
<p>Academic Background</p> <p>MMMM DD, YYYY Graduated from _____ High School</p> <p>MMMM DD, YYYY Entered Department of _____, Faculty of _____ at _____ University</p> <p>MMMM DD, YYYY Graduated from the above university</p> <p>MMMM DD, YYYY Entered Master's program in _____ at _____ University</p> <p>MMMM DD, YYYY Completed the above program</p> <p>MMMM DD, YYYY Entered Doctoral program in _____ at _____ University</p> <p>MMMM DD, YYYY Withdrew from the above program after/before completing the course requirements</p> <p>Professional Background</p> <p>MMMM DD, YYYY Entered Research Institute of _____, _____ Corporation</p> <p>MMMM DD, YYYY Retired from the above company</p> <p>MMMM DD, YYYY up to the present Entered _____ Research Institute, Ministry of _____</p> <p>Research Background</p> <p>MMMM DD, YYYY Joined the _____ research project at _____ Research Institute, _____ Corporation</p> <p>MMMM DD, YYYY up to the present Joined the _____ research project at _____ Research Institute, Ministry of _____</p> <p>I confirm that the above statements are true and correct.</p> <p>MMMM DD, YYYY</p> <p style="text-align: right;">ホンゴウ タロウ (signature) (sign your full name in katakana)</p>		

⑥ Thesis Table of Contents (designated form)

- 1) Write the title of your doctoral thesis in the “Title” space in the upper part of the form.
- 2) Only three patterns are acceptable for the format of the thesis title: (1) Japanese title only, (2) Japanese title (English title), or (3) English title (Japanese title).
- 3) In the “Date and Name of Printed Publication” section, write the date of publication, the title used for the publication, the type of media (such as academic journal, university magazine, scholarly journal, book, etc.), its name, and the name of the publisher for any part of your thesis that has already been made public. If there is a co-author (research collaborator) for any part of your thesis, write the 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 already deceased, such consent is not required; the text “(deceased)” should be added after the name of the deceased co-author. If your thesis has been accepted for publication, complete 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 complete this part of the schedule for printed publications.
- 4) Delete the Reference Article section if no reference article is submitted. The title of a reference article written in a non-Japanese language need not be accompanied by a Japanese translation.
- 5) The date of the *Thesis Table of Contents* (bottom left of form) must be the last day of the thesis submission period.
- 6) Your signature and seal must be affixed in the proper space (bottom right). Signatures written in roman letters are not acceptable. A non-Japanese applicant who does not have a kanji name must sign the document in katakana.

(sample: Thesis Table of Contents)

Notification Number	UTokyo #	Name	ホンゴウ タロウ
Thesis			
1. Title			
<i>(Add Japanese translation here if the title is in a foreign language)</i>			
2. Date and Name of Printed Publication			
(1) MMMM YYYY _____ Journal Vol. _____, Pages _____ – _____			
“ _____ ” (in collaboration with a co-author, _____)			
(2) MMMM YYYY _____ Review Vol. _____, Pages _____ – _____			
“ _____ ” (in collaboration with a co-author, _____)			
(3) MMMM YYYY To be published in Academic Publication, Month of _____, Pages _____ – _____			
“ _____ ” (in collaboration with a co-author, _____)			
3. Number of Volumes 1			
Reference Thesis			
1. Title “ _____ ”			
2. Date and Name of Printed Publication			
MMMM YYYY _____ Journal Vol. _____ (No. _____)			
3. Number of Volumes 1			
I hereby certify, in applying for the Degree, that I understand the provisions set forth in the UTokyo Code of Conduct for Research and undertake to comply with the standards of practice in scientific research, including those stipulated in the above Code of Conduct and the Guidelines.			
MMMM DD, YYYY			
Applicant			
ホンゴウ タロウ (signature)			
(Sign your full name in katakana)			

⑦ Letter of Consent and Acceptance (designated form)

- 1) A *Letter of Consent and Acceptance* must be printed on A4-size paper for every co-author or research collaborator mentioned in “2. Date and Name of Printed Publication of the Thesis Table of Contents” (hereinafter individually or collectively referred to as “co-authors”).
- 2) When asking your co-authors to produce a Letter of Consent and Acceptance, supply them with 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 every 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 thesis, you must file, after the completion of final thesis defense, an *Application for Publication of Thesis under Special Circumstances* and submit a partially removed (or abridged) version of the thesis in PDF form (hereafter referred to as “doctoral thesis (abridged PDF)”). Even in the case of special circumstance publication, you must also submit the full thesis in PDF form (hereafter, “doctoral thesis (full PDF)”) as previously explained.

Abridged thesis is defined here as a thesis with parts that been embargoed from public access for an approved period of time.

- 4) The date of the Letter of Consent and Acceptance must be the date on which the co-author gives consent.
- 5) The signature and seal of the co-author must be affixed in the designated space (bottom right). A non-Japanese co-author may put his/her signature in place of a personal seal; in this case, his/her name must also be printed or typed.
- 6) A Letter of Consent and Acceptance is not required for a co-author (research collaborator) of a reference article.
- 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.

(sample: Letter of Consent and Acceptance)

Letter of Consent and Acceptance

While the thesis being submitted by Mr. Taro Hongo contains the parts created jointly by myself as a co-author (or research collaborator) and Mr. Taro Hongo identified and listed as follows, I, the undersigned, hereby accept and agree that those parts will be treated as an integral part of the doctoral thesis by Mr. Taro Hongo.

Please tick whichever is applicable.

- I accept and agree that the abovementioned thesis will be publicized 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 agree to full-text publication of the abovementioned thesis. Instead, I accept and agree that a partially-removed or abridged version of the same thesis will be publicized through UTokyo Repository.*

※Describe the circumstances:

- (1) MMMM YYYY _____ Journal Vol. _____, Pages _____–_____”
“ _____ ” (in collaboration with a co-author, _____)
- (2) MMMM YYYY _____ Review Vol. _____, Pages _____–_____”
“ _____ ” (in collaboration with a co-author, _____)

(3) MMMM YYYY	To be published in an Academic Publication, Month of _____,
Pages ____–____	
“ _____ ”	(in collaboration with a co-author, _____)
MMMM DD, YYYY	
	Co-author (Research collaborator)
	Name _____ (seal)
	(Sign full name)
* UTokyo Repository is a system created by members of The University of Tokyo to centrally control the digital resources of the various research findings that have been accumulated and stored for disclosure electronically through the internet in and outside the University. (http://repository.dl.itc.u-tokyo.ac.jp/index_e.html)	

Note: The descriptions for the parts covered by joint authorship must be the same as described in 2. *Date and Name of Printed Publication* in the *Thesis Table of Contents*.

⑧ Pledge (designated form)

- 1) The date of the Pledge must be the date when the pledge is created (Such date must be the last day of the relevant thesis submission period or earlier). [see 2]
- 2) The Pledge must be signed and seal affixed by the applicant. Signatures written in roman letters are not acceptable. A non-Japanese applicant who does not have a kanji name must sign the document in katakana. In this Pledge you state that you have complied with the university and non-university rules and regulations related to scientific research. Submission of the Pledge is required in accordance with *UTokyo Code of Conduct for Research* (in a separate document).

Reference: *The University of Tokyo Code of Conduct for Scientific Research*
<http://www.u-tokyo.ac.jp/ja/administration/codeofconduct/> (in Japanese)

Date _____
(mmmm/dd/yyyy)

Pledge of Compliance with Ethical Research Standards

To Dean of Graduate School of Public Policy,

I do hereby pledge that I have followed the standards regarding scientific research set forth in the Code of Conduct for Scientific Research of The University of Tokyo.

Candidate's Name _____ (signature) _____
(print name in full under the line; sign your name above the line)

5. Documents to be Submitted *after* the Completion of Thesis Defense

After you successfully complete the final defense of your thesis, you must submit certain required documents [see 5.1] to the GraSPP Graduate School Office in accordance with the following instructions. For the academic year 2019, the submission periods are as follows, depending on the scheduled completion date of the doctoral course of each applicant:

Scheduled completion date	Submit documents by	Place (office hour)
August, 2019	July 19, 2019 (Fri)	GraSPP Graduate School Office (9:30–11:30, 13:30–16:30)
March, 2020	February 14, 2020 (Fri)	

5-1. Documents to be Submitted

Required documents vary depending on which of the following conditions the applicant falls under:

- A:** *full publication* publication of the full text of the doctoral thesis on the Internet
- B:** *special circumstance publication* publication of a partially removed or abridged version of the doctoral thesis on the Internet for unavoidable circumstances
- C:** *special circumstance publication (patent application)* special circumstances publication due to a patent application as the unavoidable circumstance

Checklist of Required Documents *after* Completion of Thesis Defense

Required Document	Required number of copies	A Full publication	B Special Circumstance publication	C Special Circumstance publication (patent application)
<input type="checkbox"/> (1) Doctoral thesis (full version in a hardbound form)	Required copies vary for A, B and C. (Bolt binding or soft cover binding is not permitted)	Course doctoral degree: 1 (for Law/Econ. Library)	Course doctoral degree: 1 (for Law/Econ. Library)	Course doctoral degree: 1 (for Law/Econ. Library)
Note: If you are unable to submit a full PDF version (Checklist (2)) of your doctoral thesis for Internet publication for a specific reason, you must submit one additional copy of the full version thesis in a hardbound form for the National Diet Library.				
<input type="checkbox"/> (2) Doctoral thesis (full version in PDF format)	digital data (PDF file): 1 set * For creating a PDF file, refer to the “Guide for Creating PDF Files to Register with UTokyo Repository” separately prescribed.	Required (The file will be published within the UTokyo Repository (hereinafter “Repository”) and automatically collected and will be made publicly accessible by the National Diet Library.)	Required (The file will be made publicly accessible by the National Diet Library.)	Required (The file will be made publicly accessible by the National Diet Library.) *The file will not be sent to the National Diet Library until the date that the file is publicly disclosed.
<input type="checkbox"/> (3) Doctoral thesis (abridged, in PDF format)	digital data (PDF file): 1 set * For creating a PDF file, refer to the “Guide for Creating PDF Files to Register with UTokyo Repository” separately prescribed.	/	Required (Published in UTokyo Repository)	Required (Published in UTokyo Repository)
<input type="checkbox"/> (4) Printed front cover of Doctoral thesis	2 copies, printed * Print only the front cover of the PDF file of the thesis.	Required	Required	Required
Note: Front covers of both the full text PDF version and the abridged PDF version of the doctoral thesis must be submitted.				
<input type="checkbox"/> (5) <i>Checklist for Web-Based Publication of Doctorate thesis</i> (use official form)	3 copies (1 original and 2 photo copies)	Required	Required	Required

<input type="checkbox"/> (6) <i>Application for Publication of Thesis under Special Circumstances</i> (use official form)	3 copies (1 original and 2 photo copies)		Required	Required
<input type="checkbox"/> (7) Document explaining in detail the “unavoidable circumstances” * Refer to the example of a document explaining in detail the “unavoidable circumstances.” [see 5.2.7)]	2 copies (1 original and 1 photocopy)		Required	Required <ul style="list-style-type: none"> • <i>Application for Exemption from Doctoral Thesis Publication for the Purpose of Patent Application</i> (use official form) • document describing the portion related to the patent application” must be submitted.
<input type="checkbox"/> (8) <i>Letter of Authorization</i> (use official form) * A letter authorizing the publication of the thesis on the Internet.	2 copies (1 original and 1 photocopy)	Required	Required	Required
<input type="checkbox"/> (9) <i>Agreement Regarding Disclosure of Printed Doctoral Dissertation</i> (use official form)	2 copies (1 original and 1 photocopy)	Required	Required	Required

Note 1: All digital files to be submitted must be stored and submitted on a single USB memory stick.

Note 2: If any change occurs with regard to publication on the Internet after the submission of documents, refer to “10-8. Procedures When a Change Arises Concerning Web-Based Publication” and follow the necessary procedures.

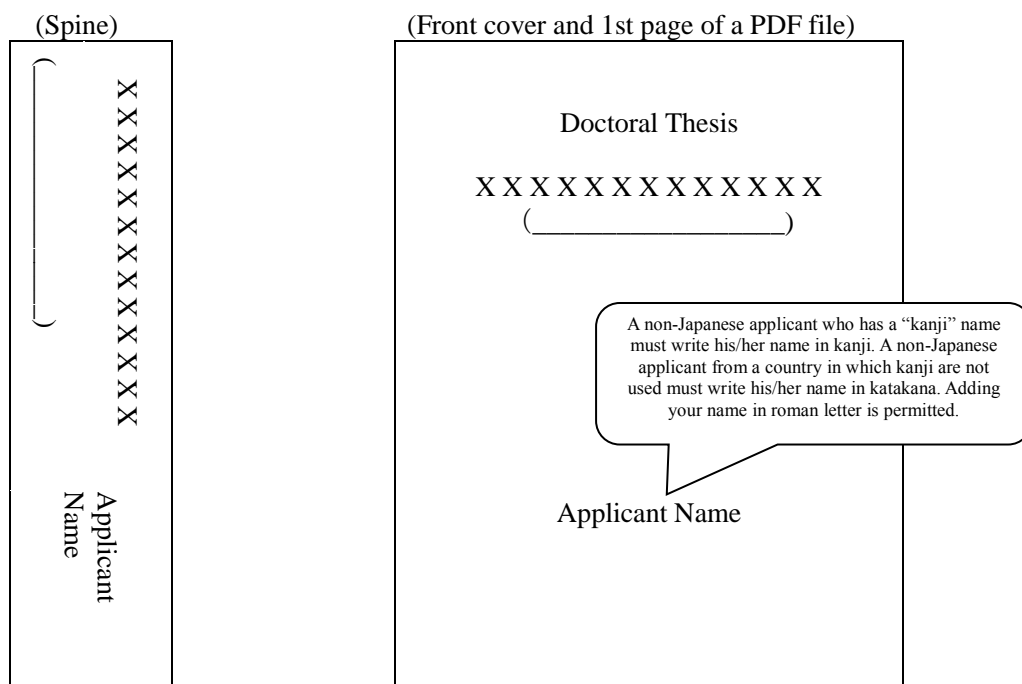
5-2. Document Instructions

General instructions

- 1) The front cover of the thesis and all other application documents must bear the title of the thesis, completely identical in respect to character size (half-width characters or full-width characters); usage of signs or marks, spacing, superscript or subscript figures; as well as a Japanese translation of the title and other factors. The title of the thesis must be identical to that used in the previously submitted *Thesis Summary* and the *Thesis Table of Contents*. (Only three patterns are acceptable for the format of the thesis title: (1) Japanese title only, (2) Japanese title (English title), or (3) English title (Japanese title)).
- 2) On the front cover of the thesis and all other application documents, your name must be written in kanji characters if you are Japanese or a non-Japanese having a kanji name. If you are a non-Japanese applicant having no kanji name, you must write your name in katakana. Your name may be added in roman letters.

① *Doctoral thesis* (in a hardbound form)

- In principle, a thesis must be printed on A4-size paper using a 12-point type, with single- or double-sided printing allowed. The printed thesis must be bound in a form that does not allow removal or insertion of any pages. (Two-hole binding is not allowed.) A durable hard cover must be used; bolt binding and soft cover binding are not acceptable.
- As shown in the illustration below, the title of the thesis and the name of the applicant must be printed on the front cover and spine of the thesis book. The text “Doctoral Thesis” must be typed above the title of the thesis on the front cover.



② **Doctoral thesis (full version in PDF file)**

- The first page of a PDF file of the full thesis must be formatted in the same manner as the cover of the thesis in in a hardbound form.
- The PDF file of the full thesis must be created according to the *Guide for Creating PDF Files to Register with UTokyo Repository* separately prescribed.
- The file of the doctoral thesis (full PDF) must be named as follows: *Applicant's name_Thesis.pdf*.

③ **Doctoral thesis (abridged, in PDF format)**

- If the doctoral thesis is determined to involve “unavoidable circumstances” that preclude its publication on the Internet as a result of a review based on the *Checklist for Web-Based Publication of Doctorate Thesis* in ⑤ below, its abstract must be submitted in PDF form.
- A partially removed (or abridged) version of the thesis must be created in PDF format (“doctoral thesis (abridged PDF)”) according to the *Guidelines for When You Are Not Able to Publish the Full Versions of Your Doctorate Theses* of the separately prescribed *Procedures for Publication of Doctorate Thesis*.
- The first page of a PDF file of the abridged thesis must be formatted in the same manner as the cover of the thesis in a hardbound form. However, above the text of the title of the thesis, the text “Doctoral Thesis (Abridged)” must be typed.
- The PDF file of the abridged thesis must be created according to the *Guide for Creating PDF Files to Register with UTokyo Repository* separately prescribed.
- The file of the doctoral thesis (abridged PDF) must be named as follows: *Applicant's name_Abridged.pdf*.

④ **Front cover of Doctoral thesis (in PDF format)**

Print only the front cover of the PDF file of the doctoral thesis. If you submit the PDF file of an abridged version of the doctoral thesis, the front cover of the PDF file must also be printed and submitted.

⑤ **Checklist for Web-Based Publication of Doctorate Thesis** (use official form)

- Answer “Yes” or “No” to all items in accordance with the instructions provided on the checklist form and sign your name by yourself.
- If you answer “Yes” to any of the checklist items, submit an *Application for Publication of Thesis under Special Circumstances*.
- Even if you answer “Yes” to item #5, you need not submit such an application if the circumstance described there will clearly cease to exist within one year after the date of degree conferral.

- If you answer “Yes” to item #8, the full version of your thesis will automatically be published on the Internet after the given period (up to five years from the date of degree conferral), in principle. However, the special circumstances publication on the Internet may be continued after the publication by a publisher in accordance with the agreement with such publisher as referred to in Item #5 or #6. In such a case, you must promptly refer to “10-8. Procedures When a Change Arises Concerning Web-Based Publication” and follow the necessary procedures, otherwise the full version of your thesis will be published on the Internet after the given time, which could make you liable to damage claims from the publisher.

Checklist for Web-Based Publication of Doctorate Thesis

Under the Degrees Regulations of Japan as revised in March 2013, all Doctorate holders are obligated to publicize their doctorate thesis in its entirety through the Internet within one year after the conferral date. (At the University of Tokyo, such theses are publicized through the UTokyo Repository.)
 However, under certain “unavoidable circumstances”, for example, where the thesis contains any content incapable of being publicized through the Internet, or where the publication of the thesis is likely to be disadvantageous for its author, the Doctorate holder is allowed to publicize an abridged version of the thesis, instead of a full-text publication.
 The cases described in items 1 to 10 listed below are “unavoidable circumstances” recognized by the University of Tokyo. Check whether your doctorate thesis to be submitted comes under any of those cases. If you answer “Yes” to any item, you must submit an “Application for Publication of Abridged Thesis” accompanied by a document explaining in detail the circumstances to the dean of the graduate school to which you belong.

Answer either “Yes” or “No” for each statement by entering a checkmark (✓).

“Unavoidable circumstances” preventing publication of the full thesis over the Internet	Yes	No
1. The thesis contains three-dimensional shapes or other contents incapable of being publicized through the Internet.	<input type="checkbox"/>	<input type="checkbox"/>
2. The thesis contains a chart or other copyrighted work created by another individual who has not yet given consent to the publication of the thesis over the Internet.	<input type="checkbox"/>	<input type="checkbox"/>
3. The whole or part of the thesis is a work of joint authorship, which publication has not yet been approved by all the relevant co-authors.	<input type="checkbox"/>	<input type="checkbox"/>
4. The thesis contains certain data or information that should not be made public for the purpose of protecting the personal information of an examinee or observation subject.	<input type="checkbox"/>	<input type="checkbox"/>
5. The whole or part of the thesis has already been published in a scholarly journal, etc. and its publication through the Internet is not authorized under an agreement with the publisher.	<input type="checkbox"/>	<input type="checkbox"/>
6. The whole or part of the thesis has already been published in the form of a book, etc., and its publication through the Internet is not authorized under an agreement with the publisher.	<input type="checkbox"/>	<input type="checkbox"/>
7. A certain book publishing agreement has already been concluded for the whole or part of the thesis, under which its publication through the Internet is not authorized.	<input type="checkbox"/>	<input type="checkbox"/>
8. The whole or part of the thesis is scheduled to be published in the form of a book or as part of a journal, etc. * Exemption from the duty of full-text publication due to a circumstance described in this item 8 is valid for a period not exceeding the length of time specified by the graduate school (subject to a maximum of five years from the date of the conferral of a Doctorate). After this period has elapsed, the full text of this thesis will automatically be publicized unless there are any other unavoidable circumstances.	<input type="checkbox"/>	<input type="checkbox"/>
9. The thesis must be kept undisclosed for a certain period for the purpose of filing a patent application.	<input type="checkbox"/>	<input type="checkbox"/>
10. There are other particular reasons precluding publication of the thesis through the Internet.	<input type="checkbox"/>	<input type="checkbox"/>

I have checked my thesis based on the above checklist.

Applicant's Signature: _____

⑥ **Application for Publication of Thesis under Special Circumstances** (use official form)

If the doctoral thesis is determined to involve “unavoidable circumstances” that preclude its publication on the Internet as a result of a review based on *the Checklist for Web-Based Publication of Doctorate Thesis* in (5) above, you must submit an *Application for Publication of Thesis under Special Circumstances*.

Application for Publication of Thesis under Special Circumstances	
<p>To: Dean of the Graduate School of Public Policy The University of Tokyo</p> <p>I am unable to publicize my doctorate thesis in its entirety due to the circumstance(s) described in the Checklist for Web-Based Publication of Doctorate Thesis. I therefore submit a document explaining in detail the “unavoidable circumstances” preventing full-text publication and request your approval for the publication of</p> <ol style="list-style-type: none"> 1. the censored version 2. the abridged version 3. bibliographic information <p style="text-align: right;">(Please circle the appropriate version)</p> <p>of said doctorate thesis in its place. Once the “unavoidable circumstances” has been resolved, I will publicize the full version of my thesis as soon as possible.</p> <p>Date of filing this application: _____</p> <p>Organization: Graduate School of Public Policy Name (to be written in by hand): _____</p> <p>Date of the conferral of Doctorate: _____</p>	

⑦ **Document explaining in detail the “unavoidable circumstances”**

If the doctoral thesis is determined to involve “unavoidable circumstances” that preclude its publication on the Internet as a result of a review based on *the Checklist for Web-Based Publication of Doctorate Thesis* in (5) above, you must attach a detailed explanation of the “unavoidable circumstances” to the *Application for Publication of Thesis under Special Circumstances*. Examples of such documents are illustrated in the table below. The document specified in #9 has an official form. Samples of official forms for #1, #2, #4 and #8 are available.

“Unavoidable circumstances” preventing publication of the full thesis on the Internet

Reasons/Circumstances	Supporting Documents
<p>1. The thesis contains three-dimensional shapes or other contents that cannot be published through the Internet.</p>	<p>Written statement identifying the parts of the thesis that cannot be disclosed</p>
<p>2. The thesis contains figures (including tables, charts, and the like) or other copyrighted work created by another individual who has not yet given consent to publication of the thesis on the Internet.</p>	<p>Written statement identifying the parts of the thesis that cannot be disclosed * With a pledge that you have confirmed the requirements for citation or reprint, and included your signature</p>

3. The part or whole of the thesis is a work of joint authorship, publication of which has not yet been approved by all the relevant co-authors.	Photocopy of a letter of consent and acceptance indicating the reason * If the reason is involved in the circumstance of #8, application of #8 is recommended.
4. The thesis contains certain data or information that should not be made public for the purpose of protecting the personal information of an examinee or observation subject.	Written statement identifying the parts of the thesis that cannot be disclosed
5. The part or whole of the thesis has already been published in a scholarly journal, etc. and its publication through the Internet is not authorized under an agreement with the publisher.	Photocopy of the relevant agreement or other equivalent document *Underline all relevant parts before submitting.
6. The part or whole of the thesis has already been published in the form of a book, etc., and its publication through the Internet is not authorized under an agreement with the publisher.	Photocopy of the relevant agreement or other equivalent document *Underline all relevant parts before submitting.
7. A book publishing agreement has already been concluded for the part or whole of the thesis, under which its publication through the Internet is not authorized.	Photocopy of the relevant agreement or other equivalent document *Underline all relevant parts before submitting.
8. The part or whole of the thesis is scheduled to be published in the form of a book or as part of a journal, etc. * Exemption from the duty of full-text publication due to a circumstance described in this Item 8 is valid for a period not exceeding the length of time specified by the graduate school (up to five years from the date of conferral of a doctoral degree). After this period has elapsed, the full version of this thesis will automatically be published unless there are any other unavoidable circumstances.	Written statement identifying the parts of the thesis that cannot be disclosed (Name of the book, journal, etc. must be included)
9. The thesis must be kept undisclosed for a certain period for the purpose of filing a patent application.	<ul style="list-style-type: none"> • <i>Application for Exemption from Doctoral Thesis Publication for the Purpose of Patent Application</i> (use official form) • document describing the portion related to the patent application
10. Any other particular reason precluding publication of the thesis through the Internet.	Written statement identifying the particular reason

⑧ **Letter of Authorization** (use official form)

- A letter to authorize publication of the thesis on the Internet is required.
- Fill in all required parts in accordance with the instructions provided on the official form.
- If your thesis involves none of the reasons listed in the Checklist for Web-Based Publication of Doctorate Thesis, choose “Published in full.” If your thesis falls under any of the reasons listed, choose either “Published as special circumstances version” or “Published as special circumstances version, and scheduled to be published in a printed book or as part of a journal, etc.”
- If you choose “Published as special circumstances version, or scheduled to be published in a printed book or as part of a journal, etc.”, the length of the grace period preceding the publication as prescribed by the graduate school and add the following statement: “(Within __ years after the date of conferral of the doctoral degree).” If it is possible to publish the thesis before the expiration of the prescribed grace period, write the designated publication date. In the absence of such indication, the entire thesis will be automatically published after the end of the grace period (five years) prescribed by the Graduate School of Public Policy.
- If you submit an application for an unavoidable circumstances described in #3 and the reason also constitutes the unavoidable circumstances described in #8, you are recommended to put a date within five years of the date of degree conferral as the authorized publication date.
- If you submit an application for unavoidable circumstances as described in #9 in addition to #8, choose “Publish under special circumstances”. When unavoidable circumstance/reason #9 ceases to be applicable, even in such a case, resubmit your forms in accordance with the “Procedures When a Change Arises Concerning Web-Based Publication” (item 8) of the supplementary guideline document *Procedures for Publication of Doctorate Thesis*.

Letter of Authorization MMMM DD, YYYY

To: Director, The University of Tokyo Library System

Name (kanji): _____ (handwritten)
 Name (alphabet): _____ (handwritten)
 Graduate School (with major/course): _____
 Student ID (only for those who are enrolled in or have completed a Doctorate program): _____
 Contact (one which can be used for contact after completion of the Doctorate program): _____
 Telephone: _____ E-mail: _____

Ph. D. type	<input type="checkbox"/> Doctorate degree obtained by completion of a Doctorate program <input type="checkbox"/> Doctorate degree obtained by submission of a thesis ('Ronpaku')
Title of thesis * Must be identical to that shown in the Thesis Table of Contents * Title in Japanese to be written in parentheses if the original title is in a non-Japanese language	
Authorization for publication over the Internet Enter a checkmark in the brackets [√] provided for the applicable condition.	(Full-text publicized) I I confirm that the above mentioned thesis does not fall under any of the unavoidable circumstances* recognized by the University. I therefore authorize the University to publicize the above thesis in its entirety in accordance with the Requirements for Permission of Utilizing Papers Presented to the University of Tokyo Academic Institutional Repository (UTokyo Repository). • If the whole or part of the thesis has already been published in the form of a book or as part of a journal, etc., and publicizing the thesis through UTokyo Repository is allowed within a one year period following the date of the conferral of a Doctorate, the date of authorizing publication must be specified here once the option has been selected. Authorized publication date: MMMM DD, YYYY
	(Publicizing under special circumstances) I I As the above thesis falls under one or more of the unavoidable circumstances* recognized by the University, I authorize the University to publicize the censored version/abridged version/bibliographic information of the above thesis in accordance with the Requirements for Permission of Utilizing Papers Presented to the University of Tokyo Academic Institutional Repository (UT Repository).
	(Publicizing under special circumstances – Scheduled to be printed as a book or as part of a journal, etc.) I I As the above thesis is "scheduled to be published in the form of a book or as part of a journal, etc." as described in the unavoidable circumstances* recognized by the University, I authorize the University to publicize the censored version/abridged version/ bibliographic information of the above thesis in accordance with the Requirements for Permission of Utilizing Papers Presented to the University of Tokyo Academic Institutional Repository (UTokyo Repository). I further agree that the University will be automatically authorized to publicize the above thesis in its entirety on and after the authorized publication date specified below unless any other unavoidable circumstance exists. Authorized publication date: MMMM DD, YYYY (Within 5 years from the date of the conferral of a Doctorate)
Confirmation from academic advisor (or by referring faculty member or research leader)	Name: _____ (handwritten)

* Refer to the Checklist for Web-Based Publication of Doctorate Theses.

For official use only

学位記番号：博 第 _____ 号	学位授与年月日：平成 _____ 年 _____ 月 _____ 日
報告番号：甲 / 乙 第 _____ 号	公開年月日：平成 _____ 年 _____ 月 _____ 日

学位記番号、学位授与年月日は研究科において記入する。
 報告番号は本部学務課において記入する。
 公開年月日は、附属図書館において記入する。

⑨ **Agreement Regarding Disclosure of Printed Doctoral Dissertation** (use official form)

- Agreement to authorize use of the thesis in book form is required.
- Fill in all required parts in accordance with the instructions provided on the official form.

Agreement Regarding Disclosure of Printed Doctoral Dissertation

Date _____ / _____ / _____
 1999 / mm / dd

To: Dean of the Graduate School of Frontier Sciences, The University of Tokyo

Name (roman letters): _____ (signature)
 Name (katakana): _____ (signature)

Name of Department and Course: _____ The Graduate School of _____ Department of XX

Student ID No. (doctor by course only): _____

Contact Information: tel: _____ e-mail: _____ @ _____

(that will also be used after date of degree conferral)

Degree Type	<input type="checkbox"/> Doctor by course <input type="checkbox"/> Doctor by dissertation
Dissertation Title *Enter the same title as dissertation list. *Transcription in Japanese should be included in parentheses.	
Reproduction of dissertation at the library *Choose one of the check box.	<input type="checkbox"/> permission given to copy entire work <input type="checkbox"/> permission <i>not</i> given to copy entire work * *Copying shall be limited up to 50% of the document in accordance with the Copyright Act of Japan
Restrictions * Only when necessary for special reasons to restrict viewing and copying (i.e. application of patent).	<input type="checkbox"/> Viewing restriction because of patent application I inform the Graduate School when it becomes available. <input type="checkbox"/> Copying Restriction Reason(s): <input type="checkbox"/> protect personal information <input type="checkbox"/> other reasons Restrictive parts as follows: { _____ } Until _____ / _____ / _____ * After this day, dissertation shall be treated as: Viewing: no restrictions Reproduction: same as stated in <i>Reproduction of the Dissertation at the Library</i> :
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 Degree Account No. 博 第 _____ 号 Degree Date 平成 _____ 年 _____ 月 _____ 日
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 Accepted Date 平成 _____ 年 _____ 月 _____ 日 Disclosure Date 平成 _____ 年 _____ 月 _____ 日

*The graduate school shall enter the degree account number and the degree date, and the library shall enter the accepted date and the disclosure date.
 *The disclosure date is set as the next day after the accepted date or the last day of the restriction period.
 *The person who publishes only an abstract shall hand out printed dissertation and this agreement to the graduate school.

6. Inquiries: GraSPP Graduate School Office
9:00-12:00, 13:00-17:00
e-mail: ppin@j.u-tokyo.ac.jp
Phone: 03-5841-1349

Frequently Asked Questions

- Q1. Chapter X in my doctoral thesis cannot be disclosed for an unavoidable circumstances. How should I create the abridged in PDF format?
- A1. Delete the portion you cannot disclose and attach a statement, “Chapter X cannot be disclosed because (describe the circumstances).”
- Q2: What information should I include in the “document explaining in detail the unavoidable circumstances?”
- A2: In the case of #3, #5, #6 or #7 referred to in the table of “unavoidable circumstances”, please submit a photocopy of the document specified for the respective case. In the case of #1, #2, #4 or #8, you may refer to the example used in the designated form.
- Q3: What is a thesis in a hardbound form?
- A3: A thesis bound into a book form with a durable hard cover, not a soft cover. Two-hole binding or bolt binding is unacceptable. Generally, a black cover with gold lettering is used.
- Q4: How should I submit digital data?
- A4: All digital files must be stored and submitted on a USB memory stick.
- Q5: Regarding Unavoidable Circumstances #5, do I have to contact the scholarly journal etc. to confirm the time the publication will become available?
- A5: Yes, you should do it. Most scholarly journal, etc. accept the self-archiving.