

Guidelines for Thesis Submission
by Doctoral Course Candidates
< AY2024 >

Graduate School of Public Policy

2024.4

Table of Contents

<Before the Final Review >

1. Numbers and Application Documents to be Submitted p1
2. Submission Deadlines and Notes p1
3. General Instructions p1
4. Documents to be Submitted p2

<After the Final Review >

5. Documents to be Submitted after the Final Review p7
6. Inquiries p12
7. Procedures for Publication of Doctoral Thesis by UTokyo (separate documents)
 - (1) Guidance on Changes in Procedures for Publication of Doctoral Thesis
 - (2) What is “UTokyo Repository”?
 - (3) Guide for Creating PDF Files to Register with UTokyo Repository
 - (4) Guide for Doctoral Thesis and Copyrights * This file is updated periodically: see the latest version at <http://hdl.handle.net/2261/55511>
 - (5) Checklist for Web-Based Publication of Doctoral Thesis
 - (6) Application for Publication of Thesis under Special Circumstances
 - (7) Guidelines for When You Are Not Able to Publish the Full Version of Your Doctoral Thesis
Requirements for Permission of Utilizing Papers Presented to The University of Tokyo
Academic Institutional Repository (UTokyo Repository)
 - (8) Examples of documents explaining in detail the “unavoidable circumstances”
 - (9) Letter of Consent and Acceptance
 - (10) Sample of First Page of PDF File of the Doctoral Thesis
 - (11) Letter of Authorization
 - (12) Requirements for Registration to the UTokyo Repository
 - (13) Registration of Doctoral Thesis on the ProQuest Dissertations & Theses Global

< Before the Final Review >

1. Numbers and Application Documents to be Submitted

- A4-size paper must be used
- All digital data must be uploaded to the designated URL.
- ① Title of Doctoral Thesis (designated form) : 1 original
- ② Doctoral Thesis : digital data (PDF file)
- ③ Thesis Summary : digital data (PDF file and MS Word file)
- ④ Résumé (designated form) : 1 original
- ⑤ Thesis Table of Contents (designated form) : 1 original
- ⑥ Statement of Commitment (designated form) : 1 original
- < Followings are documents to be submitted if applicable. >
- ⑦ Letter of Consent and Acceptance (designated form) : 1 original
- ⑧ Reference Articles : digital data (PDF file)

2. Submission Deadlines and Notes

- Please first submit ①Title of Doctoral Thesis (designated form) to the GraSPP Graduate School Office by e-mail when you are ready to submit the application documents. After receiving the Title of Doctoral Thesis, the GraSPP Graduate School Office will send you the upload link for the submission of digital data.
- Submission Deadline
Completion in September 2024: Earlier date in either two weeks before the date of Final Review, or before 10th July, 2024.
Completion in March 2025: Earlier date in either two weeks before the date of Final Review, or before 20th January, 2025.

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, 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: *Guide for Doctoral Thesis and Copyrights* and *Guidance on Changes in Publication of a 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.

- 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 have a kanji name. In all other cases, your name must be written in the alphabet. You may write your name both in kanji and the alphabet together. In addition, if you are married and have changed your family name, please write your name as registered in the census register. If you wish to write your maiden name together with your officially registered name, please contact GraSPP Graduate School Office before the submission. 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 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.

② 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) 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). If you have a kanji name, your

name must be written in kanji characters. In all other cases, your name must be written in the alphabet. You may write your name both in kanji and the alphabet together.

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

③ Thesis Summary

- 1) The thesis summary must be A4-size using a 12-point type in horizontal writing.
- 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) 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*.

④ Résumé (designated form)

- 1) The name and date of birth written on your Résumé will be stated on your diploma issued by the University. If you wish to have your diploma bearing your date of birth written in the Western calendar format, the date of birth on your Résumé must be written in the Western calendar format.
- 2) If you have a kanji name, your name must be written in kanji characters. In all other cases, your name must be written in the alphabet. You may write your name both in kanji and the alphabet together. The manner of how your name is written must be completely identical to all other application documents.
- 3) The academic background must be described in chronological order, starting with graduation from high school.
- 4) The academic, professional, and research backgrounds must be stated respectively in different sections. If any research and any professional background coincide for a period of time, they must be stated separately in their respective sections. In particular, the research background must identify the locations and topics for respective research projects. Only when both your research and professional backgrounds completely coincide in their entirety, they may be stated together in one section entitled “Research and Professional Background” (e.g., in the case where you are/were a researcher-cum-faculty member of a university). (If you work or have worked in the university, please write your job title (e.g., professor, associate professor)).
- 5) The start and the end (completion) of each educational, professional, or research career must be specified to the exact date, not only the month and year.
- 6) The date of Résumé (bottom left of form) must be same as the date of the submission of thesis.
- 7) Please be sure to hand-write your name on the printed document.

⑤ 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.

- In the case you have no thesis made public, delete (1) through (3) and write “None” instead.
- 4) Delete the “Reference Article” section (“Reference Thesis”, 1. to 3.) if you are not submitting any reference thesis. 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 same as the date of the submission of thesis.
 - 6) Please be sure to hand-write you name on the printed document.

⑥ Statement of Commitment (designated form)

- 1) Please be sure to hand-write you name on the printed document.
- 2) In this Statement of Commitment you state that you have complied with the university and non-university rules and regulations related to scientific research. Submission of this document is required in accordance with UTokyo *Code of Conduct for Research* in a separate document.
<http://www.u-tokyo.ac.jp/ja/administration/codeofconduct/>

In addition, please confirm *GraSPP Guidelines for Writing Academic Papers*.

<http://www.pp.u-tokyo.ac.jp/en/student-bulletin-board/warning/>

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 *Requirement for Registration to the 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) Each Letter of Consent and Acceptance must be signed by the respective co-author. If a co-author is a non-Japanese individual, please type his/her name in the designated space and ask him/her to sign the form.

- 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 an estate of the deceased co-author, this consent is legally valid. In this case, please write their relationship with the deceased co-author below their signature. (e.g., son of the co-author, XXXXXX (co-author's name))

< After the Final Review >

5. Documents to be Submitted after the Final Review

After you successfully complete the Final Review, you must submit certain required documents [see 5-1] to the GraSPP Graduate School Office in accordance with the following instructions.

| Scheduled completion date | Submit documents by | Place (office hour) |
|---------------------------|---------------------------|--|
| September 2024 | September 13, 2024 (Fri.) | GraSPP Graduate School Office (9:30–11:30, 13:30–16:30) |
| March 2025 | March 14, 2025 (Fri.) | |

The deadlines mentioned above are the regular graduation in March/September. For those who graduate in other months, GraSPP Office will specify the deadline.

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

| Required Document | 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 Faculty of Law Library) | Course doctoral degree: 1 (for Law Library) | Course doctoral degree: 1 (for Law Library) |
| <input type="checkbox"/> ② Doctoral thesis (Full version in PDF format) | digital data (PDF file) ※ 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 and automatically collected and will be made | 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 |

| | | | | |
|--|---|--|--|---|
| | | publicly accessible by the National Diet Library.) | | Library until the date that the file is publicly disclosed |
| <input type="checkbox"/> ③ Doctoral thesis (Abridged, in PDF format) | digital data (PDF file) ※ 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 | 1 copy * Print only the front cover of the PDF file of the thesis. | Required | Required | Required |
| <input type="checkbox"/> ⑤ Checklist for Web-Based Publication of Doctoral thesis (designated form) | 1 original | Required | Required | Required |
| <input type="checkbox"/> ⑥ Application for Publication of Thesis under Special Circumstances (designated form) | 1 original | | 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.” | 1 original | | Required | Required • Application for Exemption from Doctoral Thesis Publication for the Purpose of Patent Application (use official form) • document describing the portion related to the patent application” must be submitted. |
| <input type="checkbox"/> ⑧ Letter of Authorization (designated form) * A letter authorizing the publication of the thesis on the Internet | 1 original | Required | Required | Required |
| <input type="checkbox"/> ⑨ 図書館での製本論文の使用に関する許諾書 (Letter of Authorization for Copy) (designated form) | 1 original | Required | Required | Required |

Note 1: All digital files to be submitted must be uploaded onto the designated URL.

Note 2: If any change occurs regarding publication on the Internet after the submission of documents, please contact the GraSPP Graduate School Office for the necessary procedures.

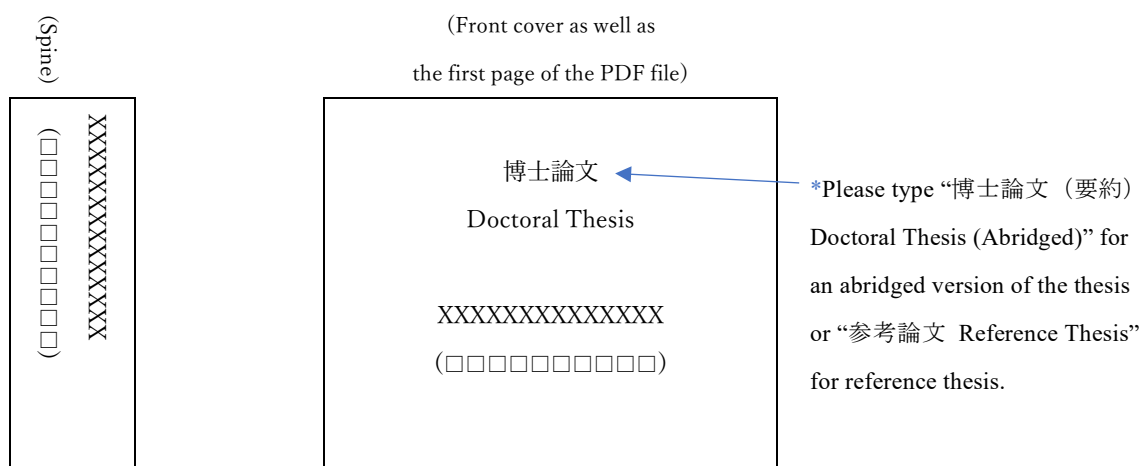
5 — 2 . Document Instructions

< General instructions >

- 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)).
- On the front cover of the thesis and all other application documents, your name must be written in kanji characters if you have a kanji name. If you do not have a kanji name, you must write your name in the alphabet. You may write your name both in kanji and the alphabet together.

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 in the example, 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 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 Doctoral Thesis* in ⑤ below, its partially removed/abridged version 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 Doctoral Thesis* of the separately prescribed *Guidance on Changes in Publication of a Doctoral Thesis*. If submitting a partially removed version, please make clear which parts have been redacted.
- 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 **Printed front cover of Doctoral thesis**

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

⑤ **Checklist for Web-Based Publication of Doctoral Thesis (designated 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 contact the GraSPP Graduate School Office for 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.

⑥ Application for Publication of Thesis under Special Circumstances (designated 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 Doctoral Thesis* in ⑤ above, you must submit an *Application for Publication of Thesis under Special Circumstances*.

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 Doctoral Thesis* in ⑤ above, you must attach a detailed explanation of the “unavoidable circumstances” to the *Application for Publication of Thesis under Special Circumstances*. Please refer to the *Examples of documents explaining in detail the “unavoidable circumstances”* separately prescribed.

⑧ Letter of Authorization (designated 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 Doctoral 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.”, and 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 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, please contact the GraSPP Graduate School Office for the necessary procedures.

⑨ 製本論文の利用に関する許諾書 (Letter of Authorization for Copy) (designated form)

*This form is provided only in Japanese from the library. Please refer to the English comments in the sample.

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

6. Inquiries

GraSPP Graduate School Office (9:00 a.m.-5:00 p.m.)

E-mail: ppin.j@gs.mail.u-tokyo.ac.jp / Tel: 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 uploaded onto the designated link. Please contact the GraSPP Graduate Office for the upload link.

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 confirm it by yourself. Most scholarly journal, etc. accept the self-archiving.