

Items to be Submitted after Degree Conferral

[Note] The items required for submission vary according to the publication type of your doctoral dissertation. Please read the following instructions carefully.

1. Submission period : Within one month after the date of degree conferral
2. Submission to : PEAK/GPEAK Section
3. How to submit electronic data : Electronic data should be stored on a CD-ROM (your name, student ID number, the conferral date, and the text “Doctoral Dissertation Electronic Data” are to be written on the CD-ROM.)
4. Items to be submitted

First, please check whether your doctoral dissertation falls under any of the cases listed in the “Checklist for Web-Based Publication of Doctoral Dissertation”.

Choose one of the following publication types and submit the required items shown in the table below:

- If you make public the full-text dissertation on the Internet, choose “**Publication of Full-text Dissertation**”.
- If you choose to only make public a redacted or abridged version of the dissertation, or the bibliographic information on the Internet for reason of “unavoidable circumstances”, choose “**Publication of Dissertation under Special Circumstances**”.
- If your dissertation must be kept undisclosed for a certain period for the purpose of filing a patent application, choose “**Publication of Dissertation under Special Circumstances (patent application)**”.

Items	Number of Items	Publication of Full-text Dissertation	Publication of Dissertation under Special Circumstances	Publication of Dissertation under Special Circumstances (patent application)
PDF of full-text dissertation	1 PDF file * The PDF file must be created according to the document (found separately), “Guide for Creating PDF Files to Register with UTokyo Repository”.	○ (Made public through UTokyo Repository and used at the National Diet Library.)	○ Used at the National Diet Library. (In the case of patent application, the electronic data will not be sent to the National Diet Library until the authorized publication date.) * If you cannot submit a PDF file of the full-text dissertation due to special circumstances, please contact PEAK/GPEAK Section as soon as possible.	○
PDF of abridged dissertation	1 PDF file * The PDF file must be created according to the document (found separately), “Guide for Creating PDF Files to Register with UTokyo Repository”.	×	○ (Made public through UTokyo Repository.)	○ (Made public through UTokyo Repository.)

First page of dissertation (PDF) *Print out the first pages of the PDF files of the full-text and abridged dissertations.	See the columns to the right. *Refer to the document (found separately), “Sample of First Page of PDF File of the Doctoral Dissertation”.	○ 1 printed copy of the first page of the full-text dissertation (PDF)	○ 1 printed copy of the first page of both the full-text and abridged dissertations (PDF)	○ 1 printed copy of the first page of both the full-text and abridged dissertations (PDF)
Dissertation abstract *Refer to “The Dissertation Handbook for Ph.D. Candidates”	2 printed copies (single-sided) *Do not staple but clip the copies together. ----- 1 PDF file 1 text file (Word etc.)	○ (Made public through UTokyo Repository and used at the National Diet Library.)	○ (Made public through UTokyo Repository.)	○ (Made public through UTokyo Repository.)
Checklist for Web-Based Publication of Doctoral Dissertation (official form)	1 signed original	○	○	○
Application for Publication of Dissertation under Special Circumstances (official form)	1 signed original	×	○	○
Document explaining in detail the “unavoidable circumstances” *Refer to the document (found separately) “Examples of documents explaining in detail the unavoidable circumstances”.	1 document	×	○	○
Letter of Authorization (official form)	1 signed original	○	○	○

*○: required, ×: not required

5. Others

- When you submit the above electronic data of your doctoral dissertation to the PEAK/GPEAK Section, we will return one copy of the bound dissertation to you (note that if the copy of your dissertation has been returned to your academic advisor, we cannot return it to you). Please let us know if you do not need the copy of the dissertation. If we do not hear from you within one year after the conferral date, the copy of your dissertation will be disposed of.
- If you have to change the title of dissertation at the behest of one or more of the committee members etc., please let us know when you submit the above required items to our office. Note that the dissertation title of all the related documents must be changed to the new title.

◆Official forms and separate documents are available online at:

http://www.c.u-tokyo.ac.jp/eng_site/graduate/thesis/doctor/index.html

1) Checklist for Web-Based Publication of Doctoral Dissertation (official form)

- (1) Answer “Yes” or “No” to all items in accordance with the instructions provided on the checklist form and sign your name.
- (2) If your answer is “Yes” for any of the checklist items, submit an “Application for Publication of Dissertation under Special Circumstances”.
- (3) Even in the event you answer “Yes” to checklist item No. 5, you do not need to submit such an application if the circumstances described there will cease to apply within one year after the date of degree conferral.
- (4) In the event you answer “Yes” to checklist item No. 9 (patent application) or to checklist item No. 10 (there are other particular reasons precluding publication of the dissertation through the Internet), contact the PEAK/GPEAK Section to carry out additional necessary procedures.
- (5) If there is any change in the “unavoidable circumstances” of the checklist, contact the PEAK/GPEAK Section to carry out the application procedures again.

Checklist for Web-Based Publication of Doctoral Dissertation		
<p>Under the Degrees Regulations of Japan as revised in March 2013, all Doctorate holders are obligated to publicize their doctoral dissertation 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.)</p> <p>However, under certain “unavoidable circumstances”, for example, where the dissertation contains any content incapable of being publicized through the Internet, or where the publication of the dissertation is likely to be disadvantageous for its author, the Doctorate holder is allowed to publicize a redacted or abridged version or a bibliographic information of the dissertation, instead of a full-text publication.</p> <p>The cases described in items 1 to 10 listed below are “unavoidable circumstances” recognized by the University of Tokyo. Check whether your doctoral dissertation to be submitted comes under any of those cases. If you answer “Yes” to any item, you must submit an “Application for Publication of Dissertation under Special Circumstances” accompanied by a document explaining in detail the circumstances to the dean of the graduate school to which you belong.</p>		
Answer either “Yes” or “No” for each statement by entering a checkmark (✓).		
“Unavoidable circumstances” preventing publication of the full dissertation over the Internet	Yes	No
1. The dissertation contains three-dimensional shapes or other contents incapable of being publicized through the Internet.	<input type="checkbox"/>	<input type="checkbox"/>
2. The dissertation contains a chart or other copyrighted work created by another individual who has not yet given consent to the publication of the dissertation over the Internet.	<input type="checkbox"/>	<input type="checkbox"/>
3. The whole or part of the dissertation 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 dissertation 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 dissertation 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 dissertation 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 dissertation, under which its publication through the Internet is not authorized.	<input type="checkbox"/>	<input type="checkbox"/>
8. The whole or part of the dissertation 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 dissertation will automatically be publicized unless there are any other unavoidable circumstances.	<input type="checkbox"/>	<input type="checkbox"/>
9. The dissertation 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 dissertation through the Internet.	<input type="checkbox"/>	<input type="checkbox"/>
I have checked my dissertation based on the above checklist.		
Applicant's Signature: _____		

2) Letter of Authorization (official form)

- (1) Fill in all requisite parts (except for the student ID column and the space designated for official use) in accordance with the instructions provided on the designated form.
- (2) If your dissertation involves none of the circumstances listed in the **Checklist for Web-Based Publication of Doctoral Dissertation**, choose “**Full-text publicized**”. If any of the circumstances listed applies to your dissertation, choose either “**Publicizing under special circumstances**” or “**Publicizing under special circumstances – Scheduled to be printed as a book or as part of a journal, etc.**”
- (3) If you choose “Publicizing under special circumstances – Scheduled to be printed as a book or as part of a journal, etc.”, the maximum length of the period that you may wait before publication as prescribed by the Graduate School of Arts and Sciences is **5 years** after the date of the conferral of the doctorate. If it is possible to make public the dissertation before the expiration of the prescribed period, write the designated publication date. In the absence of this designation, the full dissertation will be automatically made public after the lapse of the period prescribed by the graduate school.

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: _____					
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">Ph. D. type</td> <td> <input type="checkbox"/> Doctorate degree obtained by completion of a Doctorate program <input type="checkbox"/> Doctorate degree obtained by submission of a dissertation ('Ronpaku') </td> </tr> <tr> <td>Title of dissertation * Must be identical to that shown in the List of Previous Publications and Related Papers * Title in Japanese to be written in parentheses if the original title is in a non-Japanese language</td> <td style="height: 40px;"></td> </tr> </table>	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 dissertation ('Ronpaku')	Title of dissertation * Must be identical to that shown in the List of Previous Publications and Related Papers * Title in Japanese to be written in parentheses if the original title is in a non-Japanese language		<p>(Full-text publicized)</p> <p><input type="checkbox"/> I confirm that the above mentioned dissertation does not fall under any of the unavoidable circumstances* recognized by the University. I therefore authorize the University to publicize the above dissertation in its entirety in accordance with the Requirements for Permission of Utilizing Papers Presented to the University of Tokyo Academic Institutional Repository (UTokyo Repository).</p> <p>◆ If the whole or part of the dissertation has already been published in the form of a book or as part of a journal, etc., and publicizing the dissertation 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: <u>MMMM DD, YYYY</u></p> <p>(Publicizing under special circumstances)</p> <p><input type="checkbox"/> As the above dissertation falls under one or more of the unavoidable circumstances* recognized by the University, I authorize the University to publicize the redacted version/abridged version/bibliographic information of the above dissertation in accordance with the Requirements for Permission of Utilizing Papers Presented to the University of Tokyo Academic Institutional Repository (UT Repository).</p> <p>(Publicizing under special circumstances – Scheduled to be printed as a book or as part of a journal, etc.)</p> <p><input type="checkbox"/> As the above dissertation 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 redacted version/abridged version/bibliographic information of the above dissertation 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 <u>automatically</u> authorized to publicize the above dissertation in its entirety on and after the authorized publication date specified below unless any other unavoidable circumstance exists. Authorized publication date: <u>MMMM DD, YYYY</u> (Within 5 years from the date of the conferral of a Doctorate)</p>
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 dissertation ('Ronpaku')				
Title of dissertation * Must be identical to that shown in the List of Previous Publications and Related Papers * 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.					
Confirmation from academic advisor (or by referring faculty member or research leader)	Name: _____ (handwritten)				
* Refer to the Checklist for Web-Based Publication of Doctoral Dissertation.					
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。					

3) Application for Publication of Dissertation under Special Circumstances (official form)

Document Explaining in Detail the “Unavoidable Circumstances” (as shown in the table below)

- (1) If your dissertation is determined to fall under any of the unavoidable circumstances listed in the **Checklist for Web-Based Publication of Doctoral Dissertation**, you must submit the following documents:
- **Application for Publication of Dissertation under Special Circumstances**
 - **Document explaining in detail the “unavoidable circumstances”**
 - **Abridged dissertation in PDF format**
- (2) The Application for Publication of Dissertation under Special Circumstances is addressed to the Dean of the Graduate School of Arts and Sciences.
- (3) Examples of documents explaining in detail the “unavoidable circumstances” are illustrated in the table shown below. Applicable documents must be attached to your Application for Publication of Dissertation under Special Circumstances.
- (4) Even in the event you are filing an Application for Publication of Dissertation under Special Circumstances, you are still required to submit a PDF file of the full dissertation for the purpose of making it available for use at the National Diet Library.

Application for Publication of Dissertation under Special Circumstances

To: Dean of the Graduate School of _____
The University of Tokyo

I am unable to publicize my doctoral dissertation in its entirety due to the circumstance(s) described in the Checklist for Web-Based Publication of Doctoral Dissertation. I therefore submit a document explaining in detail the “unavoidable circumstances” preventing full-text publication and request your approval for the publication of

1. the redacted version
2. the abridged version
3. bibliographic information

(Please circle the appropriate version)

of said doctoral dissertation in its place.
Once the “unavoidable circumstances” has been resolved, I will publicize the full version of my dissertation as soon as possible.

Choose the appropriate version according to the Guidelines (Separate Document 07).

Date of filing this application: _____

Organization: Graduate School of _____

Name (to be written in by hand): _____

Date of the conferral of Doctorate: _____

“Unavoidable circumstances” preventing publication of the full dissertation on the Internet	Examples of explanatory documents
1. The dissertation contains three-dimensional shapes or other contents incapable of being made public on the Internet.	Written statement identifying the parts of the dissertation that cannot be disclosed
2. The dissertation contains a chart or other copyrighted work created by another individual who has not yet given consent to the publication of the dissertation on the Internet.	Written statement identifying the parts of the dissertation that cannot be disclosed
3. The whole or part of the dissertation is a work of joint authorship and publication has not yet been approved by all the relevant co-authors.	Photocopy of a letter of consent and acceptance
4. The dissertation 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 dissertation that cannot be disclosed
5. The whole or part of the dissertation has already been published in a scholarly journal, etc. and its publication on the Internet is not authorized by the publisher.	Photocopy of the relevant agreement or other equivalent document
6. The whole or part of the dissertation has already been published in the form of a book, etc., and its publication on the Internet is not authorized by the publisher.	Photocopy of the relevant agreement or other equivalent document
7. A book publishing agreement has already been made for the whole or part of the dissertation, and under that agreement publication on the Internet is not authorized.	Photocopy of the relevant agreement or other equivalent document
8. The whole or part of the dissertation 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 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 dissertation will automatically be made public unless there are any other unavoidable circumstances.	Written statement identifying the parts of the dissertation that cannot be disclosed (Name of the book, journal, etc. to be included)
9. The dissertation must be kept undisclosed for a certain period for the purpose of filing a patent application.	Written statement identifying the parts of the dissertation that cannot be disclosed
10. There are other particular reasons precluding publication of the dissertation on the Internet.	Written statement identifying the parts of the dissertation that cannot be disclosed

4) How to Create Electronic Data

PDF files must be created according to the document (found separately), “Guide for Creating PDF Files to Register with UTokyo Repository”.

◆ PDF of full-text dissertation

- (1) The first page of the PDF file of the full-text dissertation must be created in the same manner as the first page of the bound dissertation.
- (2) The name of the PDF file should be “**TaroKomaba(yourname)_FullDissertation.pdf**”

◆ Dissertation abstract

- (1) Submit the abstract in two forms: as a PDF file and as a text file such as a Word document.
- (2) The names of the files should be:
“**TaroKomaba(yourname)_Abstract.pdf, TaroKomaba(yourname)_Abstract.doc (txt, tex etc.)**”

◆ PDF of abridged dissertation (including the publication of the redacted version/bibliographic information)

- (1) If your answer is “Yes” to any of the items of “**Checklist for Web-Based Publication of Doctoral Dissertation**”, submit a PDF file of the abridged dissertation, the redacted version, or bibliographic information.
- (2) The redacted dissertation, the abridged dissertation, or the bibliographic information must be created in accordance with the document (found separately) “**Guidelines for When You Are Not Able to Publish the Full Version of Your Doctoral Dissertation**”.
- (3) The first page of the PDF file must be created in the same manner as the first page of the PDF file of the full-text dissertation. Note that the text “**Doctoral Dissertation (Abridged)**” must be typed above the title of the dissertation regardless of whether you are submitting a redacted version of the dissertation or only the dissertation’s bibliographic information.
- (4) The name of the PDF file should be “**TaroKomaba(yourname)_AbridgedDissertation.pdf**”

[Separate Documents]

*Available online at: http://www.c.u-tokyo.ac.jp/eng_site/graduate/thesis/doctor/index.html

01_Guide for Doctorate Theses and Copyrights

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

02_Items to be Submitted After Degree Conferral

03_What is “UTokyo Repository”?

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

05_Guide for Creating PDF Files to Register with UTokyo Repository

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

07_Guidelines for When You Are Not Able to Publish the Full Version of Your Doctoral Dissertation

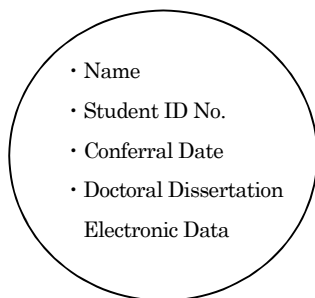
08_Code of Conduct for Research (December, 2013)

[Checklist for Items to be Submitted]

Items to be Submitted		Check the items that you have to submit.
Doctoral dissertation	PDF of full-text dissertation 1 PDF file File name: TaroKomaba(yourname)_FullDissertation.pdf	
	PDF of abridged dissertation 1 PDF file File name: TaroKomaba(yourname)_AbridgedDissertation.pdf	
First page of dissertation (PDF)	The first page of the full-text dissertation (PDF) 1 printed copy	
	The first page of the abridged dissertation (PDF) 1 printed copy	
Dissertation abstract	2 printed copies (single-sided)	
	1 PDF file File name: TaroKomaba(yourname)_Abstract.pdf	
	1 text file (Word etc.) File name: TaroKomaba(yourname)_Abstract.doc (txt, tex etc.)	
Checklist for Web-Based Publication of Doctoral Dissertation (official form) 1 signed original		
Application for Publication of Dissertation under Special Circumstances (official form) 1 signed original		
Document explaining in detail the “unavoidable circumstances” 1 document		
Letter of Authorization (official form) 1 signed original		

[Data to be submitted]

CD-ROM



- Name
- Student ID No.
- Conferral Date
- Doctoral Dissertation Electronic Data

Have you stored the following data on a CD-ROM? (If you submit a PDF file of the full-text dissertation, you do not have to submit a PDF of the abridged dissertation.)

- PDF of full-text dissertation
- PDF of abridged dissertation
- PDF of dissertation abstract
- Word file etc. of dissertation abstract

[Paper documents to be submitted] Have you prepared the following paper documents to be submitted?



- The first page of the full-text dissertation (PDF)
- The first page of the abridged dissertation (PDF)
- 2 printed copies (single-sided) of dissertation abstract
- Checklist for Web-Based Publication of Doctoral Dissertation (official form)
- Application for Publication of Dissertation under Special Circumstances (official form)
- Document explaining in detail the “unavoidable circumstances”
- Letter of Authorization (official form)