

Important Points Regarding Registration of Doctoral Theses in the Repository

I. Introduction

Due to partial revisions of the Degree Regulations as of April 1, 2013, it is now required to make doctoral theses publicly available on the Internet.

In principle, people on whom a degree is conferred (referred to hereafter as “degree holders”) must make the full text of their doctoral thesis publicly available using the Internet within one year of the date of degree conferment, but in the case of plausible reasons such as the processing of intellectual property rights (copyright, patent rights, etc.), it is possible to publish an abstract in place of the full text for a limited time period.

Refer to URL: http://www.mext.go.jp/a_menu/koutou/daigakuin/detail/1331790.htm

As far as specific methods of open access are concerned, the basic rule is that in universities with an institutional repository, the theses of degree holders should be made publicly available in that repository. Thus, degree holders of this university should provide open access by registering their thesis in the Kyoto University Research Information Repository (abbreviated hereafter to “KURENAI”).

Refer to URL: http://www.mext.go.jp/a_menu/koutou/daigakuin/detail/1331796.htm

“2. Important points (2) Methods of publication”

An institutional repository is a place for indefinitely storing electronic intellectual property (all academic information including academic articles and degree theses) produced within an institution, and providing all people with open access to them free of charge through the Internet.

Please see the following websites for further details about KURENAI, the institutional repository of this university.

- KURENAI

<http://repository.kulib.kyoto-u.ac.jp/dspace/>

- KURENAI general information website

<http://edb.kulib.kyoto-u.ac.jp/kurir/about.html>

Open access issues such as whether to make available the full text or the abstract, appropriateness of content if the abstract is selected, and timing of switching from abstract to full text access are not to be decided by the individual alone, but must be submitted for review by the relevant graduate school. Documents related to open access after degree conferment (printed documents and electronic data) should be submitted together with materials submitted for the thesis defense to the relevant graduate school at the time of application.

The university will arrange registration to KURENAI based on the materials submitted to the Graduate School.

It is not necessary for the degree holder to contact the affiliated library directly.

Please follow the instructions of the graduate school for detailed procedures.

II. Managing rights such as intellectual property rights

Management of rights such as intellectual property rights in relation to open access sometimes needs to be done in advance. If publication goes ahead without appropriate management of rights, serious problems may arise.

In particular, please pay attention to the need to confirm copyright in the following cases:

- (1) Part or all of the thesis is published (or will be published) in an academic journal
- (2) Part or all of the thesis is published (or will be published) in book form
- (3) There is joint authorship of any article contributing to the doctoral thesis
- (4) Any person other than the degree holder has copyright of any part of the doctoral thesis

As far as (2) is concerned, please obtain permission from the publisher. For (3) and (4), please obtain permission from the co-authors or anyone else who has copyright in order to make the text publicly available on the Internet. In all cases, if permission cannot be obtained, a separate abstract should be written and published.

Further details about (1) can be found below.

III. Managing rights such as intellectual property rights in connection with publication in academic journals

In many cases, copyright is transferred to the publisher under an agreement or regulations in the case of publication in academic journals, and it is then necessary to obtain permission from the publisher concerned in order to make the full text available on KURENAI. If permission cannot be obtained, a separate abstract should be written and made publicly available.

Please refer to the website below for further details.

Reference: Management of copyright at the time of registration (KURENAI general information website)

<http://edb.kulib.kyoto-u.ac.jp/kurir/open.html#2>

“Management of intellectual property rights” and “confirmation of copyright” tend to carry connotations of extremely hard and complex tasks but, as pointed out on the above website, there is data confirming that 70% of academic journals permit free open access to articles through the author's institutional server, and many cases can be resolved relatively easily by following certain procedures.

Below are descriptions of specific cases related to academic journals and publishers that could easily occur.

A. Currently submitted papers or papers planned for submission

At the stage at which publication has still not been decided, if there is a possibility of publication in the near future, which would necessitate signing of an agreement, making the thesis open to the public should be avoided.

At the stage at which management of intellectual property rights has not been confirmed, please do not estimate the date of full text open access, but opt for an abstract and set the date of full text availability as “To be determined.”

B. Already published or accepted for publication (Reference 1)

1. Confirmation of publishing agreement, copyright transfer agreement, publisher's policy, etc.

- (1) In most cases, a publishing agreement or copyright transfer agreement will already have been signed. After checking the rights to register in the institutional repository or reuse of work according to the content of the agreement, please make a decision regarding open access (whether to make the full text or the abstract available, and when to make the full text available if applicable) in accordance with the agreement.

If repository registration was specifically prohibited, please opt for publication of the abstract.

- (2) A summary of repository registration policies and the situation regarding permission for publishers and academic associations in Japan and other countries can be found on the following sites as an example.

However, **if there is a separate individual agreement between the author and the publisher, this takes precedence.**

- Academic societies in Japan (SCPJ website)

<http://scpj.tulips.tsukuba.ac.jp>

- SHERPA/RoMEO site

<http://www.sherpa.ac.uk/romeo/>

For journals that do not appear in search results or journals labeled in SCPJ as “gray (under investigation/not made public/no response),” please confirm the situation by making an individual enquiry to the publisher about the above matters. (It is also sometimes possible to confirm information on the journal's own website.)

Please check the following points regarding the agreement or publisher's policy

2. Confirmation of versions that can be registered and associated conditions

Data made public must be the same version as the thesis that was defended for the degree.

If the same version that was presented for the defense cannot be made public (for example, the final author's version was used for the thesis defense, but the publisher will only allow the publisher's version to be published), please opt for publication of the abstract.

Even in cases where it is possible to provide open access to the version used for the thesis defense, please pay attention to differences between the publisher's version, the author's final version and other versions.

Confirmation of other conditions for repository registration:

- If acknowledgement of rights or source, or a link to the publisher's version, is required:
 - If the above information is not included in the thesis package submitted for defense, please add it as a separate page at the front or back of the electronic version of the thesis. (If the above information is decided after submission of the thesis, submit it as a separate file.)
- Confirmation of public regulations URL
 - Even if open access is permitted under the publisher's policy, it is sometimes necessary to apply for permission separately. Please check whether the regulations in the text allow exemption from application.

3. Confirmation of date on which full text of the thesis can be published (Reference 2)

If it is within 1 year of the (expected) date of degree conferment, the full text of the thesis will be made public according to that timing. If it is more than 1 year after the (expected) date of degree conferment, the abstract will be published until the full text can be made publicly available.

- * It is necessary to be careful about setting the date that the full text can be made publicly available.

If degree conferment is expected in March 2014, it is necessary to state whether the full text or the abstract only will be made publicly available by March 2015 (within 1 year).

If the publication date is May 2014 and the publisher sets the requirement that making the text “publicly available in the repository can be done 1 year after publication,” it is only possible to make the full text publicly available from May 2015, and until then, the abstract must be published.

On the other hand, if the publication date is March 2015 and it is “possible to provide open access simultaneously with publication,” it will be possible to make the full text publicly available from March 2015, and there is no need to write an abstract.

- * Conditions concerning open access (whether to make available the full text or an abstract, and when to make the full text available) are decided initially at the time of applying for thesis defense, but there are cases where circumstances change subsequently during the thesis examination process or after the thesis has been examined.

Various cases can be conjectured, so it is not possible to make generalized statements, but one example is shown below.

- * Candidate for planned degree conferment in March 2014

1. If the application for thesis defense is in January 2014, at which point publication has been decided, but the publication date is not yet decided:

→ The date for open access to full text should be stated as “To be determined” at the time of application for the thesis defense, and the abstract data should be submitted together with the materials.

If the publication date is not decided by the end of the thesis examination process (March), the abstract will be made publicly available.

2. If the publication date is decided during the thesis examination process (January to March):

→ Revise the materials related to open access to the thesis and retract the abstract publication if necessary.

3. If the publication date is decided after the end of the thesis examination process:

→ Revise materials related to open access to the thesis, and submit it to the graduate school again.

* In order to ensure smooth progress of confirmation and the examination process in consultation with your supervisor and in the thesis defense application procedures, please attach the results of confirmation of 1, 2 and 3 above. Specific details are provided below.

(1) Confirmation of 1. ... Copy of agreement

- Please underline or highlight the text referring to public availability through a repository.
- If there are items affecting privacy such as details of remuneration, please feel free to black these out.

(2) Confirmation of 2. ... Print out the relevant page, and underline or highlight the text referring to public availability through a repository.

C. Other

1. If different publication restrictions apply to different chapters, it may be the case that the publication of the full text and the abstract are combined, but if this raises problems in terms of the structure of the thesis as a whole, it is possible to publish an abstract of the whole thesis (including the chapters that can be published).
2. In cases where the degree thesis is rewritten from articles submitted for academic journals, full text open access in the repository depends on the extent of revisions (e.g. substantial revision resulting a different composition versus minor polishing of text and wording changes), and no generalized rule can be made. To be safe, please confirm your situation with the publisher.

Process of Management of Degree Thesis Rights Including Publication in Academic Journals

Check the content of the agreement or policy

Have you signed a publishing agreement or copyright transfer agreement?

Check the content of the contract.

NO

YES

Check publisher's policy.

- Refer to SHERPA/RoMEO/etc. <http://www.sherpa.ac.uk/romeo/>
- Refer to publisher's website.
- Ask publisher directly.

Checkpoint 1: Version that can be published and conditions

Do you have permission to register your data on the institutional repository?

* Data made public in the institutional repository must be the same version as the thesis that was defended for the degree!

☐ Cannot register **same version as defended thesis** in the institutional repository

☐ Can register **same version as defended thesis** in the institutional repository
Pay attention to differences between publisher's version, author's final version and other versions.

Publication of abstract

Other
If acknowledgement of rights or source, or a link to the publisher's version is required, or if there are other conditions for repository registration, follow these instructions.

Checkpoint 2: Is date of open access within 1 year?

When can the full text be made publicly available in the institutional repository?

☐ Within 1 year of the date of degree conferment

☐ More than 1 year after date of degree conferment

☐ Publication date to be confirmed

Open access to full text

Publication of abstract

Publication of abstract

Date open access is permitted

Date of open access "To be determined"

Open access to full text

Date open access becomes possible

Open access to full text

Judgment of **whether publication of the abstract is necessary** depends on whether the “date of publication” is within **1 year** of the (expected) date of degree conferment or whether it exceeds this.

