

Guidelines for Submitting a Ph.D. Dissertation

September 8, 2014
Tohoku University

The *Tohoku University Code of Conduct for Fair Research Activities** and the *Guidelines for the Proper Publication of Research Findings**, both established on November 26, 2013, apply to all students involved in research activities.

After writing a Ph.D. dissertation stating your research results, submitting it to your graduate school, and successfully defending it, you must then upload a digital copy of the dissertation to the Tohoku University Repository, an Internet archive, within one year of being awarded your degree. The digital copy will become a permanent record available for use globally by the public and other scholars.

Follow the guidelines below carefully to ensure that the process goes smoothly. Guidelines specific to your graduate school may be attached to this document.

* <http://www.bureau.tohoku.ac.jp/kenkyo/fb/fuseibousi.htm>

1. Basic Principles

It is essential to obey the *Copyright Act* of Japan. If you are not sure what the law prescribes, you should visit the Copyright Research and Information Center website (<http://www.cric.or.jp/english/qa/index.html>).

Please also be aware of any laws and regulations that may apply if your research collaborator(s) and/or publisher are from another country.

2. Including Your Previously Published Material

2.1 The Main Idea: If you are planning to write a dissertation containing material you have previously published or material that has been accepted for publication in an academic journal, you should follow the journal's policy for uploading such work to the Internet archive. Namely, your previously published material cannot be used in the dissertation in a form that is against the publishing journal's policy.

2.2 Journal Policies: The policies of major journals can be found in public databases.

– Domestic journals: SCPJ (<http://scpj.tulips.tsukuba.ac.jp/>)

– Oversea publishers: SHERPA/RoMEO (<http://www.sherpa.ac.uk/romeo/>)

If you are unable to fully understand the policy, refer to the explanation provided by Tohoku University Library (<http://ir.library.tohoku.ac.jp/tourfaq-e.html>).

If the journal is not found in the above databases, or if you need further information, please contact the publisher directly.

2.3 Bibliographic Information: If your dissertation contains material that you have previously published, you must provide the author name(s), title, journal name, volume, issue, page numbers and DOI in the table of contents or in the appropriate chapter/section titles.

3. Agreement among Co-Authors

If you are writing a dissertation that contains previously published material or material that has been accepted for publication in an academic journal, and the material was co-authored, all co-authors must agree to the inclusion of that material in your dissertation. They must also agree that the dissertation will become public via the repository. Consult your supervisor for details concerning the process of obtaining co-author agreement.

In general, co-author agreement must be obtained in the same manner as that for collaborators on a research project.

4. How to Lawfully Quote the Work of Others

4.1 The Main Idea: Quoting the work of others that has already been made public, including text, tables, charts and photos, in your dissertation without permission from the author is acceptable as long as the quotation is *lawful*. A quotation is legally defined as such if the material in question is clearly distinguished from the rest of the work and occupies a sufficiently small fraction of your dissertation in quantity. Further, the quotation is lawful provided the following: that it is compatible with fair practice; that the extent of the quotation is justified by the purpose for which it is used, such as critique or research; and that its bibliographic information is provided.

4.2 Lawful Quotation: For lawful quotation, the quoted text must be either enclosed in quotation marks or written in italics. Quoted work other than text must appear in your dissertation so that readers can easily see that it is quoted. Further, bibliographic information must both be associated with each quoted part and include the author name(s), title, journal name, volume, issue, page numbers and DOI.

4.3 Quantity of Quotation: The *Copyright Act* does not mention a limit for the amount of material that is able to be quoted in another paper. This implies that the conditions given above for lawful quotation are crucial. The original author's approval is required when using images or photos because such quotation could exceed the extent justified by the purpose, depending on the size and the resolution of the image, and therefore infringe the copyright. Note that some academic disciplines or journals specify the amount of material that is able to be quoted with numerical values.

4.4 Summarizing the Work of Others: When summarizing or paraphrasing the work of others, it should be clear that the bibliographic information of the original work must be provided. However, the referencing style will vary based on the academic discipline or community.

4.5 Using a Plagiarism Checker: You are strongly encouraged to use a plagiarism checker before submitting your dissertation to help ensure that it contains only lawful quotations. Consult your supervisor when you apply the checker to your dissertation.

5. Inventions

If your dissertation includes an invention, an invention notification should be submitted to the university (<http://www.rpip.tohoku.ac.jp/gakunai/todokede.html>) in order to finish the filing of patent applications before it is presented. Other considerations are necessary if the defense is open to the public.

6. Delay in Uploading to the Repository

You may reasonably delay uploading a digital copy of your dissertation to the repository until a specified point in the future. Typical examples of reasons for delaying the upload and the required form can be found in *ATTN: Students Submitting Ph.D. Dissertation*, which will be distributed by your graduate school. If you have decided to delay the uploading your dissertation, you are required to upload a summary to the repository in its place.

7. Responsibility to Society

"Scientists shall recognize that there exist possibilities that their research results, contrary to their own intentions, may be used for destructive actions, and shall select appropriate means and methods as allowed by society in conducting research and publicizing the results."

– Quoted from guideline no. 6 of the *Code of Conduct for Scientists* (Revised), Science Council of Japan, 2013.