



UNIVERSITY OF THE PHILIPPINES

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OFFICE OF THE VICE-CHANCELLOR FOR RESEARCH AND DEVELOPMENT

MEMORANDUM NO. FRN 15-038

**TO : DEANS, DIRECTORS, HEADS OF UNITS, CHAIRS,
THESIS/DISSERTATION STUDENTS**

FROM : FIDEL R. NEMENZO, D.Sc.

Vice-Chancellor for Research and Development

**SUBJECT: Clarifications and Revisions on guidelines for Public Access to Theses and
Dissertations**

DATE : 20 October 2015

Pursuant to provisions of applicable laws including the Technology Transfer Act of 2009, Article 7 of the Revised Intellectual Property Rights Policy of the University of the Philippines System and Memorandum No. PAEP 2012-03 of UP President Alfredo E. Pascual dated 2 February 2012 (Annex A), Memorandum No. BMP 12-011 of then Vice-Chancellor for Research and Development Benito M. Pacheco (Annex B) is updated. Please observe the following immediately:

A. Permission Marking on Title Page

1. All theses and dissertations will be classified as **only one** of the following:
 - i. **I**: has patentable or registrable invention or creation
 - ii. **P**: author wishes to publish the work personally
 - iii. **C**: confidential information of a third-party is embedded
 - iv. **F**: a regular work, i.e., it has no patentable invention or creation, the author does not wish for personal publication, there is no confidential information.
2. The Title Page of a thesis or dissertation will include the above classification. Please refer to Annex C for an example.

B. Policy on Public Access

1. All theses and dissertations classified as **I**, **P**, or **C** are automatically closed to the general public for **one (1) year**. Access to theses and dissertations classified as such shall be withheld from the general public by the respective college/unit library. The restricted thesis or dissertation shall be removed from the common areas.
2. **Before the lapse of the one-year period**, the author or the adviser may request extension of his/her right to withhold public access to the thesis/dissertation for a period of one (1) year, renewable every year, upon request. It shall be the responsibility of the author or the adviser to submit such requests to the College/Unit where the thesis/dissertation was submitted as a requirement.

3. **Immediately after the lapse** of the one-year period in Section 1 above, or the one-year extension in Section 2 above, the Libraries may then allow public access to the theses and dissertations by making the theses and dissertations available in their viewing areas, and the University may then exercise its right under the royalty-free, non-exclusive license granted pursuant to the Revised 2011 IPR Policy of UP to publish theses and dissertations.
4. For cases classified as “C”, the third-party will be asked to redact parts of the thesis/dissertation relating to their confidential information. Once the information has been redacted, the thesis/dissertation can be removed from observing the one year restriction on public access. It is the responsibility of the author and/or thesis adviser to ensure redaction of third-party confidential information.
5. All other theses and dissertations (F) are accessible to the public, subject to the University Library's Policy on Access and Duplication.

C. Policy on access during restricted period

A restricted thesis/dissertation may still be accessed provided that the following conditions are met:

1. If the requesting party is a student, staff, researcher, or faculty of the University, a signed Conforme (Annex D) shall be submitted to the Library or College/Unit where access to the thesis/dissertation is being requested.
2. If the requesting party is not any of the abovementioned persons, i.e. not connected to the University, the following documents shall be submitted to the Library or the College/Unit where access to the thesis/dissertation is being requested:
 - i. A Non-Disclosure Undertaking (Annex E) signed and notarized by the requesting party, provided that one of the witnesses shall be from the Intellectual Property and Technology Transfer Unit (IPTTU) of the Office of the Vice-Chancellor for Research and Development (OVCRD); and
 - ii. A written permission from the author or the adviser. If neither can be contacted or reached, a written permission from the IPTTU of the Office of the Vice-Chancellor for Research and Development (OVCRD).

The Library or College/Unit where access is being requested shall receive the required documents and transmit a copy to the IPTTU of OVCRD.

D. Guidelines on Restricted Theses and Dissertations

1. The college/unit library shall create a compilation of all theses and dissertations abstracts classified as “T”. The college/unit library shall submit the compilation to the Intellectual Property and IPTTU of the OVCRD every end of semester.

E. University Permission Page

1. The University Permission Page, immediately following the Title page, shall contain the following statement:

“I hereby grant the University of the Philippines a non-exclusive, worldwide, royalty-free license to reproduce, publish and publicly distribute copies of this thesis or dissertation in whatever form subject to the provisions of applicable laws, the

provisions of the UP IPR policy and any contractual obligations, as well as more specific permission marking the Title Page."

"Specifically I grant the following rights to the University:

- a) To upload a copy of the work in the theses database of the college/school/institute/department and in any other databases available on the public internet;*
- b) To publish the work in the college/school/institute/department journal, both in print and electronic or digital format and online; and*
- c) To give open access to above-mentioned work, thus allowing "fair use" of the work in accordance with the provision of the Intellectual Property Code of the Philippines (Republic Act No. 8293), especially for teaching, scholarly and research purposes."*

For further queries you may call the OVCRD at 981-8763 or 981-8500 loc. 8763 and look for **Mr. Paul Jan Patrick P. Natividad** of the IPTTU. You may also send an e-mail to: techtransfer.ovcrd@up.edu.ph.

Thank you.

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OFFICE OF THE VICE-CHANCELLOR FOR RESEARCH AND DEVELOPMENT

MEMORANDUM NO. BMP 12- 011

TO : DEANS, DIRECTORS, HEADS OF UNITS, CHAIRS
THESIS/DISSERTATION STUDENTS

FROM : BENITO M. PACHECO, Ph.D.
Vice Chancellor for Research and Development

SUBJECT: Guidelines for Public Access to Theses and Dissertations

DATE : 15 March 2012

Pursuant to provisions of applicable laws including the Technology Transfer Act of 2009, Article 7 of the Revised Intellectual Property Rights (IPR) Policy of the University of the Philippines System, and Memorandum No. PAEP 2012-03 of UP President Alfredo E. Pascual dated 2 February 2012 (enclosed herewith), please observe the following effective immediately:

A. Permission Marking on the Title Page of Thesis or Dissertation:

1. Please refer to the example Title Page in Memo No. PAEP-2012-03. In the **bottom portion of the Title Page**, one or more concerns ("I", "P" or "C") are to be indicated, and three conditions are to be marked by either Yes or No, with the following combinations:

Case (a):

Circle one or more concerns: I , P , C	
Available to the general public	Yes
Available only after consultation with author/adviser for thesis/dissertation	No
Available only to those bound by nondisclosure or confidentiality agreement	No

Case (b):

Circle one or more concerns: I , P , C	
Available to the general public	No
Available only after consultation with author/adviser for thesis/dissertation	No
Available only to those bound by nondisclosure or confidentiality agreement	Yes

Case (c):

Circle one or more concerns: I , P , C	
Available to the general public	No
Available only after consultation with author/adviser for thesis/dissertation	Yes
Available only to those bound by nondisclosure or confidentiality agreement	Yes

Each case requires the student's signature and date (for new thesis/ dissertation), as well as adviser's signature and date, the latter on behalf of the Department or Institute. In case the adviser is unable to sign, the Chair of Department or Director of Institute may sign.

For older theses/dissertations with potential IPRs, an additional page with permission marking as described above may be pasted in all copies of the thesis/dissertation.

Rationale:

In the event that: (I) the thesis or dissertation contains information on an invention or creation that may be patentable or registrable, or if (P) the thesis or dissertation writer signifies the intention to publish the work himself or herself soon and meanwhile needs to defer the granting of rights to the University (according to par. B of these guidelines) in order not to preempt the expected publication, or if (C) the same contains confidential information of the University and/or that of a third party, then the Department, Institute, School or College may temporarily withhold or restrict public access to such thesis or dissertation or to the defense proceedings pertaining to said thesis or dissertation.

2. The restriction shall be removed, and the relevant portion of the Title Page shall be pasted over: (I) at such time that the intellectual property rights are fully protected by law, or (P) upon publication thereof, or (C) upon reclassification of confidential information. In the case of intention to publish, if the thesis or dissertation writer fails to publish the work within one year from approval of the thesis or dissertation, the Department, Institute, School or College may exercise the rights granted under par. B of these guidelines. In case the adviser is unable to sign the new permission marking to be pasted on the Title Page, the Chair of Department or Director of Institute may sign.
3. In addition to the permission marking in the Title Page as described above, there shall be on chronological file marked CONFIDENTIAL all **Request Letters** by students requesting the withholding or restriction of public access to their respective theses and dissertations STATING THE DETAILED CONCERNS whether "I", "P" and/or "C", duly signed by the student and duly signed with endorsement by the adviser. The request should indicate who in the recommendation by the student may be granted special access should there be urgent and valid reason. There shall be on the same file all request letters by third parties for special access, and the corresponding action replies by the Department Chair or Institute Director. Likewise, all written permissions for access by specific library staff members shall be on the same file with the corresponding non-disclosure agreements as applicable. All such letters shall be in one master file per Department, Institute, School, or College, the aggregation as may be decided by the College or Unit.
4. Consistent with the above, the College/ School/ Institute/ Department may withhold submission of copies to the National Library and to the Commission on Higher Education for a period of time.
5. Where the permission marking requires a nondisclosure or confidentiality agreement, the **Non-Disclosure Agreement for Theses/ Dissertations** template as pre-approved by OVCRD and DLO must be used.

B. University Permission Page:

1. The thesis or dissertation writer shall own the copyright of his or her thesis or dissertation subject to the provisions of applicable laws, these guidelines, and any agreement(s) with the University and/or external parties. While retaining copyright ownership of the thesis or dissertation, the student shall sign a University Permission Page allowing the University a "non-exclusive worldwide, royalty-free license to reproduce, publish and publicly distribute copies of said thesis or dissertation in whatever form subject to the provisions of applicable laws, the provisions of [the UP IPR policy] and any contractual obligations" (Art.7, Revised UP IPR Policy, June 3, 2011) as well as more specific permission marking on the Title Page as described in par. A of these guidelines.

2. Immediately following the Title Page is the **University Permission Page**, signed and dated by the student-author and containing the statement:

"I hereby grant the University of the Philippines non-exclusive worldwide, royalty-free license to reproduce, publish and publicly distribute copies of this thesis or dissertation in whatever form subject to the provisions of applicable laws, the provisions of the UP IPR policy and any contractual obligations, as well as more specific permission marking on the Title Page.

"Specifically I grant the following rights to the University:

- a) to upload a copy of the work in the theses database of the college/ school/ institute/ department and in any other databases available on the public internet;*
- b) to publish the work in the college/ school/ institute/ department journal, both in print and electronic or digital format and online; and*
- c) to give open access to above-mentioned work, thus allowing "fair use" of the work in accordance with the provisions of the Intellectual Property Code of the Philippines (Republic Act No. 8293), especially for teaching, scholarly and research purposes."*

For immediate compliance.

These guidelines shall be reviewed periodically upon receipt of feedback from concerned Departments, Institutes, Schools and Colleges.



UNIVERSITY OF THE PHILIPPINES
Quezon City

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RECEIVED
OFFICE OF THE CHANCELLOR
University of the Philippines Diliman
Date: FEB 20 2012

OFFICE OF THE PRESIDENT

2 February 2012

MEMORANDUM NO. PAEP 2012-03

To : All Chancellors
All Deans

Subject : Public Access to Theses/Dissertations and Defense Proceedings



In accordance with the university's responsibility to generate new knowledge and share this for the benefit of the wider public, all undergraduate and graduate theses and dissertations shall be made accessible via the university libraries and departmental reading rooms, unless otherwise indicated as described below.

Pursuant to Article III, Sec. 8 (h) of R.A. 10055 (Technology Transfer Act of 2009) and Article 7 Sec. 2 of the U.P. Revised IPR Policy which was approved and confirmed by the Board of Regents during its 1269th and 1273rd meetings, respectively, the university may withhold public access to theses/dissertations and defense proceedings, in the event that such may contain potentially patentable intellectual property, until such time the potential intellectual property rights are fully protected by law. Particular attention should be accorded to theses/dissertations in the sciences and engineering.

Should there be an urgent and valid reason to access such theses/dissertations, this can be made possible subject to non-disclosure agreements.

An additional page in the thesis/dissertation should indicate who can have access to the copy in the interim. This instruction should be adhered to by the university/college/institute/department librarians who will also be subject to non-disclosure agreements. An example of such a page is attached for your perusal.

This guideline shall apply to all theses/dissertations submitted on or after 15 March 2012.

For older theses/dissertations with potential IPRs, an additional page with instructions as described in number 4 above may be pasted in all copies of the thesis/dissertation.

This is for immediate and strict compliance.

ALFREDO E. PASCUAL
President

Noted:
BENITO M. PACHECO, Ph.D.
Vice Chancellor

NOTED:
CAESAR A. SALOMA
Chancellor
U.P. Diliman



UNIVERSITY OF THE PHILIPPINES

Master of Science in Molecular Biology and Biotechnology

Gene Dela Cruz

MicroRNA Regulation of Drug Metabolizing Enzyme Gene xxx

Thesis Adviser:

Xxxxxxx, PhD

National Institute of Molecular Biology and Biotechnology
University of the Philippines Diliman

Thesis Reader:

xxxxxxxxxxxxx, PhD

National Institute of Molecular Biology and Biotechnology
University of the Philippines Diliman

Date of Submission

31 March 2012

Permission is given for the following people to have access to this thesis:

Available to the general public	No
Available only after consultation with author/thesis adviser	No
Available only to those bound by confidentiality agreement	Yes

Student's signature:

Signature of thesis adviser: