PREPARATION AND SUBMISSION OF THESES AND DISSERTATIONS

Nick Rizzo
Objectives

1 Thesis Preparation
   Resources for Formatting Assistance
   Copyright, Plagiarism, Ethics
   Formatting
   Pre-Reviews

2 Final Submission Process
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   Delaying the Publication of Your Thesis (Embargo)
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   Deadlines
cIRcle

All final UBC theses and dissertations are submitted electronically to cIRcle

• cIRcle is UBC’s online repository
• Your thesis is archived with a permanent link
• Your thesis is available publicly and can be downloaded from cIRcle
Thesis Preparation

Resources:
Thesis Formatting Assistance
Resources: Thesis Formatting Assistance

• Your Supervisor
  • Style guide for your discipline
    • Bibliography and citation style
    • Endnotes and footnotes
    • Formatting and labeling of tables and figures
Resources: Thesis Formatting Assistance

• Your Supervisor

• G+PS website
  • Structure of your thesis
  • Tables, figures, illustrations
  • Margins and pagination
  • Headings and subheadings
  • Samples and checklists for the title page, table of contents, preliminary pages
Resources: Thesis Formatting Assistance

• Your Supervisor
• G+PS website
• G+PS Thesis Team
  • graduate.thesis@ubc.ca
    • Any questions related to the formatting requirements of your thesis.
1 Thesis Preparation

Copyright, Plagiarism & Ethics
Copyright

According to the Copyright UBC website,

“copyright is the sole and exclusive right of a copyright owner to produce, reproduce, perform, publish, adapt, translate and telecommunicate a work, and to control the circumstances in which others may do any of these things.”

You are personally responsible for ensuring that your thesis complies with Canadian copyright law. The Faculty of Graduate and Postdoctoral Studies cannot offer legal advice as to whether or not copyright permission is required.
Copyright

Please see the Theses and Dissertations section of Copyright UBC for more information:

[Copyright UBC link]

- Workshops & consultations

Avoid copyright violations

- Request permission to use copyrighted material early
  - Journal publication material
  - Tables, figures, illustrations, screenshots, maps logos
- Keep copies of proof that you have permission to use copyrighted material
- Keep track of sources; make citation notes as you go, and cite your sources clearly.
Including Published Material

Some of you may be planning to include published articles in your thesis.

- Material published elsewhere (or in press) must be identified and acknowledged in both the text and the Preface, and smoothly integrated into your thesis.
- Your thesis may require some re-writing or additional material to ensure coherence and consistency with formatting
  - There can only be one Abstract and one References/Bibliography section in the thesis
- Be aware of any possible copyright infringement
Plagiarism occurs when an individual submits or presents oral or written work of another person as his or her own. It is intellectual theft.

You are responsible for understanding what constitutes plagiarism, and for ensuring that you do not commit any act of plagiarism under any circumstances.
Avoiding Plagiarism

• Don’t copy/paste into your thesis
  • Keep the work of others separate and note citations
• Make it clear which words are yours and which are the work of others
  • If using another’s exact words, use quotation marks or indent.
• Failure to properly cite the work of another is also plagiarism
  • “Accidental” plagiarism is still plagiarism!
  • This applies to draft work, oral presentations, as well as final submissions
Ethics

- **Reasons** to seek ethics approval:
  - Working directly with animals or humans (or their tissue)
    - This includes interviewing people
  - Working with hazardous material (viruses, diseases, etc.)

- **When** to obtain ethics approval:
  - Ethics approval should be applied for and obtained BEFORE research begins.

- **How** to obtain ethics approval:
  - Visit the [Office of Research Ethics](https://ethics.research.ubc.ca/) website for more information

If you are unsure whether or not you need ethics approval, visit the [Office of Research Ethics](https://ethics.research.ubc.ca/) website or contact them directly.
1 Thesis Preparation

Formatting Your Thesis
Sequence of Events

Writing your thesis  Pre-Review  XX / Defense  Final Submission
Writing the Thesis

• Style Guides
• Templates
  – Microsoft Word template on the G+PS website
    • Current Students » Dissertation & Thesis Preparation » Thesis Basics » Style Guides and Computer Tools
    • Set up template before you start writing
    • Use program features e.g. styles for headings, captions, auto-generated table of contents and lists, etc.
  – LaTeX & LYX
    • A document preparation system that requires coding
    • G+PS is not able to provide advice or support on LaTeX coding
Samples and Examples

• See Resources for Thesis Preparation and Checking
  Current Students » Dissertation & Thesis Preparation » Resources for Thesis Preparation and Checking
  • Samples
    • Title pages
    • Committee page
    • Prefaces
    • Table of Contents
    • Thesis
  • Checklists
    • Title page
    • Components of the thesis
RESOURCES FOR THESIS PREPARATION AND CHECKING

These resources are designed to help you check the presentation and formatting of your thesis. Please review the resources early in the writing of your thesis, and to use them to check your thesis before sending it to the Faculty of Graduate and Postdoctoral Studies.

Important: It is your responsibility to proofread your thesis. Grad Studies will check the formatting but does not proofread. You cannot make changes to your thesis after it has been accepted into dIRde, so you will not be able to correct any errors after your final submission.

RESOURCES
- Checklist for Title Page
- Sample Title Pages
- Sample Prefaces
- Checklist for Components of the Thesis
- Sample Thesis
- Sample Table of Contents
Committee page examples:
- Committee Page - Doctoral Examples
- Committee Page - Master's Examples
Committee page templates:
- Committee Page - Doctoral Templates
- Committee Page - Master's Templates
For Committee Pages: Please remove any lines you do not need.
NOTE: The samples are intended to demonstrate thesis formatting and to give you tips and information to help you check yours. Your thesis does not have to look exactly like these. Please remove any unneeded lines if you have fewer examiners than are listed in the templates.

THE UBC RESEARCH COMMONS
The UBC Research Commons in Koerner Library provides workshops and one-on-one consultations to students who need assistance with master's and doctoral thesis formatting.

THE ASSIGNMENT CALENDAR
REVIEWING YOUR OWN WORK: SAMPLE THESIS ERROR CHECKING

Must be lower case.

This must be the name under which you are registered at UBC.

by

Jane Doe Blank

B.A., The University of Waterloo, 2007

Listing previous degrees is optional. If you choose to list them, you must include degree, institution and graduation year.

A THESIS SUBMITTED IN PARTIAL FULFILLMENT OF THE REQUIREMENTS FOR THE DEGREE OF

MASTER OF APPLIED SCIENCE

in

The Faculty of Graduate and Postdoctoral Studies

Must be lower case.

(Program name)

The University of British Columbia

(Campus name)

No "s" at the end of "Master"

Check SSC to confirm your exact program name. Do not write "Faculty", "department", "school", "program", or "centre".

Copyright symbol is mandatory. Your name must be the same as at the top of the page, and year must be current.

October 2013

© Jane Doe Blank, 2013

The month and year in which you submit your thesis.

Either (Vancouver) or (Okanagan).
Committee Page

• Effective May 1, 2018, all theses and dissertations must include a page that lists the supervisory committee, and if applicable, the examining committee.

• This page lists all examining committee members and supervisory committee members, but must not include signatures.

• Templates and examples are available on the G+PS website
  – It is really important to use the template.
Preface

Effective May 2013, all theses and dissertations must include a Preface.

The Preface must contain the following:

- A statement detailing your contribution to the identification and design of the research program, performance of the various parts of the research, and analysis of the research data.

- A list of any publications arising from work presented in the dissertation, and the chapter(s) in which the work is located. There must also be a statement detailing the relative contributions of all collaborators and co-authors (including supervisors and members of the supervisory committee) and stating the proportion of research and writing conducted by the student.

- The name of the particular UBC Research Ethics Board, and the project title(s) and Certificate Number(s) of the Ethics Certificate(s) obtained, if ethics approval was required for the research.

Examples:

Chapter 2 is based on work conducted in UBC’s Maple Syrup Laboratory by Dr. A. Apple, Professor B. Boat, and [student’s name]. I was responsible for tapping the trees in forests X and Z, conducted and/or supervised all boiling operations, and performed frequent quality control tests on the product.

A version of chapter 3 has been published. [Student’s name], Apple, A. and Boat, B. (2010) Frequency of Quality Testing in Syrup Creation. Maple Science J. 255;139-144. I conducted all the testing and wrote most of the manuscript. The section on “Testing Implements” was originally drafted by Boat, B.

Check the first pages of these chapters to see footnotes with similar information.
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First page of the body of the thesis (i.e., "Introduction" or "Chapter 1") must be page "1" in Arabic numbers.

Components or parts of the thesis must appear in the same order as they do in this Table of Contents.
Common Formatting Issues

• Inconsistency with capitalization, spacing, heading styles, etc.
• Hyperlinks and bookmarks that don’t work
• Incorrect pagination
• Other students’ theses and old templates which do not meet G+PS formatting requirements used as resources
• Your thesis hasn’t been proofread. We do not review for typos or grammatical errors
• Incorrect month on the title page
• Page size: must be letter size (8.5” X 11”)

UBC Graduate and Postdoctoral Studies
Writing the Thesis

• Reasons for specifications:
  • Uniform UBC thesis style
  • Professional presentation
  • Best display on screen
Pre-Reviews

• You can have your thesis **pre-reviewed** as soon as you have a working draft

• **Master’s students:** optional, but recommended

• **Doctoral students:** strongly encouraged prior to submission to the external examiner, but not mandatory

• If you are close to final cIRcle submission (post defense), instead of requesting a pre-review, please submit to cIRcle and have your thesis reviewed there
Pre-Reviews
Where to send your thesis

• Email a PDF to graduate.thesis@ubc.ca
  • Include your name and your degree (master’s or doctoral)
  • Please specify the kind of review you are requesting
    • In progress
    • Immediately prior to submission to the external examiner
    • Final draft before cIRcle submission

• Please allow 3-5 business days for the review and any required corrections
Final Submission Process
Final Submission Process

• Final, post-defence master’s and doctoral theses must be submitted electronically by uploading to cIRcle
• Once submitted to cIRcle, theses are reviewed for final formatting and must be approved before accepted.
• Your thesis is not considered “approved” until you receive a thesis receipt
Preparing for Final Submission

• Use review tools on the website
• Check that you have met all formatting requirements
• Be aware and ahead of deadlines
• Allow time for revisions to formatting
• Proofread! Do a final proofreading, as theses cannot be changed once they have been accepted into cIRcle
Final Submission Process

- Submit completed forms
- Set up cIRcle account
- Request cIRcle account activation
- Upload PDF of your thesis to cIRcle
- Final formatting review of your thesis in cIRcle
- Thesis Receipt
- Program Closure
Final Submission Process: Required Forms

• Thesis/Dissertation Submission Cover Sheet
• Doctoral Dissertation or Master’s Thesis Approval form
CORONAVIRUS (COVID-19): please review UBC's general information and FAQs and O&P's graduate student-specific information.

**FINAL SUBMISSION INSTRUCTIONS**

This section is only for final, post-defence submission of theses and dissertations.

Please follow these steps in order:

1. Download and complete the following forms from the Graduate Studies website:
   - **Dissertation Approval form** (doctoral students only)
   - **Thesis Approval form** (master's students only)
   - **Electronic Thesis/Dissertation Submission Cover Sheet**

   When you have completed your thesis defence and any changes required by the examining committee, your supervisor and committee members will sign the Thesis or Dissertation Approval form.

2. Ensure your completed forms are submitted to the Faculty of Graduate and Postdoctoral Studies.

   As of December 2020, Thesis or Dissertation Approval forms must be submitted to the Faculty of Graduate and Postdoctoral Studies by your graduate program. The program will ensure that the form is complete and that the signatures/endorsements are genuine, and will forward the form to the Faculty of Graduate and Postdoctoral Studies on your behalf.

   It is preferable for you to submit the Thesis/Dissertation Cover Sheet to your program office at the same time as you submit the Thesis or Dissertation Approval form, so that forms arrive as a complete package.

   Please do NOT email a PDF of your thesis along with the forms.

   Please ensure your forms are sent ahead of your planned submission date. Your cIRcle account cannot be activated until Graduate Studies has received your thesis forms.

3. Set up your cIRcle account by going to the UBC Library cIRcle User Registration page. See cIRcle Instructions for more details. Once you have created your cIRcle account, you will be sent an email message that allows you to set your password.

4. **IMPORTANT:** After setting your password, send an email to graduate.thesis@ubc.ca to request that your account be activated. You must include your name and email address in the body of the email. You will be notified when your account has been activated and you are able to submit your thesis. Please send the email AFTER you have submitted your forms, as your account cannot be activated until the forms have arrived at the appropriate Graduate Studies office.

**IMPORTANT - CREATIVE ARTS ONLY:**

If you are submitting an MFA or MMus thesis to the "Electronic Theses and Dissertations in Creative Arts, 2017+ (CIVL ACCESS)" collection, you must state this in the email to graduate.thesis@ubc.ca. Otherwise you will not be able to submit to this collection.

5. Convert your thesis to a single non-secured PDF file. The PDF file must be compatible with Adobe Acrobat version 5, and must not be in "secured" format or password-protected. cIRcle does not accept secured or password-protected PDFs due to access and preservation concerns. If you have questions, please contact the cIRcle staff.

**[CREATIVE ARTS ONLY.]** For MFA and MMus theses, convert the text portion(s) of your thesis to a single non-secured PDF.
FINAL THESIS/DISSERTATION SUBMISSION COVER SHEET

☐ I have compared my thesis/dissertation with the Sample Thesis at Resources for Thesis Preparation and Checking.
   I affirm that the thesis or dissertation I am submitting (in either case, “my thesis”) conforms to the UBC thesis
   formatting requirements.

☐ My thesis is the version approved by my examination committee and thesis supervisor.

☐ I acknowledge that shortly after submission and approval of my thesis, together with the appropriate form listed
   below, my thesis will be publicly available in its entirety unless circulation has been restricted/an embargo has
   been approved by the Faculty of Graduate and Postdoctoral Studies.

I have read, understood, and agree to the above statements: ___________________________ Date: ____________

Signature

IMPORTANT: You MUST apply for graduation online at the Student Service Centre.

You must submit one of the two forms below to your graduate program office. Program staff will ensure that
the committee has been entered in SISC, verify the signatures and initials, and send the form to the Faculty of
Graduate and Postdoctoral Studies at graduate.thesis@ubc.ca.

Please check the relevant form:

Master’s Students:
☐ Master’s Thesis Approval form with at least two signatures of examining committee members.

Doctoral Students:
☐ Doctoral Dissertation Approval form with at least three signatures of examining committee members.

Given Name: ___________________________ Student Number: ___________________________

Middle Name: ___________________________ Email: ___________________________

Family Name: ___________________________

Grad Program: ___________________________ Degree: ___________________________

Title of Thesis: ___________________________

I certify that the above statements and information are true and accurate: ___________________________ Date: ____________

Signature

Personal information provided on the registration form is collected pursuant to section 29 of the Freedom of Information and Protection of Privacy Act (“FOIPPA”), RSC 1985, c. 1B5, as may be amended from time to time. The information will be used for the purposes of processing and publishing your thesis/dissertation submission. The University of British Columbia collects, uses, retains and discloses information in accordance with FOIPPA.

Graduate Studies use only:

Date thesis approved in SISC: ____________ Receipt email sent: ____________ Thesis Clerk: ____________

www.grad.ubc.ca/forms
DOCTORAL DISSERTATION APPROVAL

Students must submit this form to their graduate program office. Program staff will ensure that the committee has been entered in SISG, verify that the signatures and initials are authentic, and send the form to the Faculty of Graduate and Postdoctoral Studies at graduate.thesis@ubc.ca.

Student: 
Given Name Family Name
in partial fulfillment of the requirements for the degree of: 
Degree (PhD, DMA, EdS) Graduate Program Name
Date of Dissertation Defence: 

Dissertation Title:

As research supervisor for the above student, I certify that I have read this student’s defended dissertation [title above], have approved changes required by the final examiners, and recommend the dissertation to the Faculty of Graduate and Postdoctoral Studies for acceptance.

REQUIRED: I verify and endorse the content of the Preface: (Supervisor must initial)

REQUIRED: INITIAL ONE STATEMENT ONLY:

EITHER I verify that approval of a UBC Research Ethics Board or UBC Animal Care Committee was not required: 

OR I verify that approval of a UBC Research Ethics Board or the UBC Animal Care Committee was obtained: 

Signature Date (yyyy/mm/dd)

Name of Research Supervisor

The undersigned certify that they recommend this dissertation to the Faculty of Grad. and Postdoc. Studies for acceptance: 

Signature Date (yyyy/mm/dd)

Name of University Examiner

Signature Date (yyyy/mm/dd)

Name of University [Member]

Signature Date (yyyy/mm/dd)

Name of Supervisory Committee Member or Co-supervisor

Signature Date (yyyy/mm/dd)

Name of Supervisory Committee Member

Signature Date (yyyy/mm/dd)

Name of External Examiner

Signature Date (yyyy/mm/dd)

Note: A minimum of three signatures on this form is required for approval of the dissertation; the research supervisor’s signature, a University examiner’s signature, plus the signature of at least one more member of the examining committee.

Faculty of Graduate Studies use only:

Date thesis approved in Office Receipt email sent Theses Centre

www.grad.ubc.ca/forms
MASTER'S THESIS APPROVAL

Students must submit this form to their graduate program office. Program staff will ensure that the committee has been entered in SISC, verify that the signatures and initials are authentic, and send the form to the Faculty of Graduate and Postdoctoral Studies at graduate.thesis@ubc.ca.

Student: ___________________________ Student number: ___________________________

in partial fulfillment of the requirements for the degree of:

Degree Name in Full (e.g. Master of Arts, Master of Science) 

Graduate Program Name

Date of Defence (if applicable): ____________

Thesis Title: ____________

☐ The supervisory committee has been entered in SISC. This must be done before submitting this form.

As research supervisor for the above student, I certify that I have read this student's defended thesis (title above), have approved changes required by the final examiners, and recommend the thesis to the Faculty of Graduate and Postdoctoral Studies for acceptance.

REQUIRED: I verify and endorse the content of the Preface: ____________ (Supervisor must initial)

REQUIRED: INITIAL ONE STATEMENT ONLY:

EITHER I verify that approval of a UBC Research Ethics Board or UBC Animal Care Committee was not required: ____________________________

OR I verify that approval of a UBC Research Ethics Board or the UBC Animal Care Committee was obtained: ____________________________

Name of Research Supervisor: ____________________________ Signature of Research Supervisor: ____________________________ Date (yyyy/mm/dd): ____________________________

The undersigned certify that they recommend this thesis to the Faculty of Graduate Studies for acceptance:

Name of Examining/Supervisory Committee Member: ____________________________ Signature of Examining/Supervisory Committee Member: ____________________________ Date (yyyy/mm/dd): ____________________________

Name of Examining/Supervisory Committee Member: ____________________________ Signature of Examining/Supervisory Committee Member: ____________________________ Date (yyyy/mm/dd): ____________________________

Name of Examining/Supervisory Committee Member: ____________________________ Signature of Examining/Supervisory Committee Member: ____________________________ Date (yyyy/mm/dd): ____________________________

Name of Examining/Supervisory Committee Member: ____________________________ Signature of Examining/Supervisory Committee Member: ____________________________ Date (yyyy/mm/dd): ____________________________

Note: Master's theses must have a minimum of two signatures for approval: the research supervisor's signature and the signature of at least one member of the examining committee.

For convenience, each party required to sign this form may sign a separate copy and return it to the graduate program office as a PDF. The signed copies together will constitute a single fully signed document.

Graduate Studies use only: ____________________________

Date thesis approved in office: ____________________________ Receipt email sent: ____________________________ Thesis Clerk: ____________________________
How to Request a Delay in Publication

• Complete Request for Delay in Publication of Thesis/Dissertation form
  • Include signatures from student, supervisor and graduate advisor/department head
• Form must be submitted **BEFORE** thesis is submitted to cIRcle
• If the request is approved, you and your supervisor will be notified via email
Delaying Publication of Your Thesis (Embargoes)

- The request will be approved only when there is a full and convincing justification for delaying online publication of the thesis.

- Common justifications include:
  - more time is required to complete or submit a manuscript
  - funding for research was provided by a commercial company which has requested a delay in publication
  - The thesis describes something of considerable monetary potential which could benefit you or the University
Thesis Receipt & Program Closure

- The final submission process is not complete until you receive an approval email
- A clerk will check for program closure eligibility upon receiving a thesis receipt
- Your program will close roughly 5 - 7 business days after your thesis has been approved in cIRcle
- Once your program has closed you will be able to download a Letter of Program Completion from the SSC.
UBC Graduate and Postdoctoral Studies

circle.ubc.ca

Submit completed forms
Set up cIRcle account
Request cIRcle account activation
Upload PDF of your thesis to cIRcle
Final formatting review of your thesis in cIRcle
Thesis Receipt
Program Closure
Submit completed forms
Set up cIRcle account
Request cIRcle account activation
Upload PDF of your thesis to cIRcle
Final formatting review of your thesis in cIRcle
Thesis Receipt
Program Closure
Submit completed forms
Set up cIRcle account
Request cIRcle account activation
Upload PDF of your thesis to cIRcle
Final formatting review of your thesis in cIRcle
Thesis Receipt
Program Closure

You will be able to make any necessary changes and resubmit
UBC Graduate and Postdoctoral Studies

Submit completed forms
Set up cIRcle account
Request cIRcle account activation
Upload PDF of your thesis to cIRcle
Final formatting review of your thesis in cIRcle
Thesis Receipt
Program Closure

5-7 business days
Availability of ETDs
Electronic Theses and Dissertations

• ETDs will be available online through:
  • UBC Library (in a few days)

• Authors, titles and abstracts will be searchable through other online databases
Deadlines

• There are two types of deadlines:
  – Month end/program closure:
    • Provided you have met all other degree requirements, your program will be closed as of the date on your thesis approval email
    • You can then request a tuition refund from Enrolment services for the remaining months in the term
  – Degree granting/graduation
    • Deadlines you must meet in order to attend a specific graduation ceremony

• You can submit your thesis at any time throughout the year
# 2023 Degree Granting and Convocation Deadlines

<table>
<thead>
<tr>
<th>Degree granting month</th>
<th>May 2023</th>
<th>November 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>Thesis approved in cIRcle</td>
<td>April 21</td>
<td>October 20</td>
</tr>
<tr>
<td>Deadline to apply for graduation</td>
<td>April 21*</td>
<td>October 20*</td>
</tr>
</tbody>
</table>

The deadline to apply for May & November graduation used to be considerably earlier than the final thesis submission deadline but this has recently been changed. You can now apply to graduate up to the thesis deadline.
Contact Information

General Questions / Pre-review & cIRcle account activation requests

• [graduate.thesis@ubc.ca]