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**
   - cIRcle Submission Process
   - Forms
   - Delaying the Publication of Your Thesis (Embargo)
   - Thesis Approval
   - Deadlines
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
1 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
- UBC Library Research Commons
  - https://guides.library.ubc.ca/library_research_commons/thesis_formatting
    - Understanding basic formatting requirements
    - Thesis template and guides
    - Weekly workshops
    - 1-on-1 help (by appointment) with the formatting features of your word processing program. research.commons@ubc.ca
Resources: Thesis Formatting Assistance

• Your Supervisor
• G+PS website
• UBC Library Research Commons
• 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:

[link to Copyright UBC guidelines]

• 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
  – Koerner Library Research Commons Microsoft Word template
    • 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
    • A document preparation system that requires coding
    • Templates are available from the G+PS website
      Current Students» Dissertation & Thesis Preparation » Thesis Basics » Style Guides and Computer Tools
    • 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 dRde, 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

NEW: Committee page examples:
- Committee Page - Doctoral Examples
- Committee Page - Master's Examples

NEW: Committee page templates:
- Committee Page - Doctoral Templates
- Committee Page - Master's Templates

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.

THE KOERNER GRADUATE RESEARCH COMMONS

The Koerner Graduate Research Commons provides workshops and one-on-one consultations to students who need assistance with master’s and doctoral thesis formatting.

THE ASSIGNMENT CALENDAR

The UBC Library's Assignment Calculator is a time management tool that breaks down research assignments into a series of manageable steps, while providing expert tips for success. Enter the assignment start date and due date to get planning!
REVIEWING YOUR OWN WORK: SAMPLE THESIS ERROR CHECKING

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

by

Jane Doe Blank

B.A., The University of Waterloo, 2007

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

(Campus name)

October 2013
© Jane Doe Blank, 2013

Avoid using scientific symbols or Greek letters in your title; spell out the words.

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

No "s" at the end of "Master".

Must be lower case.

Must be lower case.

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.

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.
Table of Contents

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  1.2 This is the second subtitle ................................. 1
  1.3 The third subtitle .............................................. 2
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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 cIRcles
Final Submission Process

1. Submit completed forms
2. Set up cIRcle account
3. Request cIRcle account activation
4. Upload PDF of your thesis to cIRcle
5. Final formatting review of your thesis in cIRcle
6. Thesis Receipt
7. Program Closure
Final Submission Process: Required Forms

• Thesis/Dissertation Submission Cover Sheet
• Doctoral Dissertation or Master’s Thesis Approval form
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 member(s) will sign the Theses or Dissertation Approval form.

2. Submit the completed forms to the Faculty of Graduate and Postdoctoral Studies (UBC-Vancouver students) or the College of Graduate Studies (UBC-Okanagan students). You can submit in person or by mail, but please submit ALL the forms at the same time. You can also scan the forms and send them to graduate.theses@ubc.ca.

   If you are sending forms by mail or courier, please send them to the appropriate address:

   **UBC-Vancouver students:** Thesis Section, UBC Faculty of Graduate and Postdoctoral Studies, 170-6371 Crescent Road, Vancouver, BC, V6T 1Z2, Canada

   **UBC-Okanagan students:** Thesis Section, UBC College of Graduate Studies, 5601 University Way, Kelowna, BC, V1V 1V7, Canada

   Please send your forms ahead of your planned submission date. Your cir<e>le account cannot be activated until Graduate Studies has received your thesis forms.

3. Set up your cir<e>le account by going to the UBC Library cir<e>le User Registration page. See cir<e>le Instructions for more details. Once you have created your cir<e>le 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.theses@ubc.ca (UBCV students)

   gradtheses.ok@ubc.ca (UBCO students)

   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 Grad Studies office.

5. Convert your thesis to a single PDF. The PDF file must be compatible with Adobe Acrobat version 5, and must not be in “secured” format. Secured PDFs cannot be archived in perpetuity.

   The preferred conversion tool is Adobe Acrobat. This ETD Tutorial provides information about PDFs including conversion from Microsoft Word to PDF.

   For UBC-Vancouver students, the Koerner Library Research Commons on campus offers help with converting your thesis to a PDF.

   Name the file using the following format: all lower case.
FINAL THESIS/DISSERTATION SUBMISSION COVER SHEET

☐ The thesis or dissertation I am submitting (in either case, “my Thesis”) conforms to the Thesis Formatting Requirements issued by the Faculty of Graduate and Postdoctoral Studies.

☐ 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 an embargo has been approved by the Faculty of Graduate and Postdoctoral Studies).

NOTE: We are not permitted to accept electronic signatures.

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 with this Cover Sheet. Please check the relevant form:

Master’s Students:
☐ Master’s Thesis Approval form with at least two signatures of examining committee members (no e-signatures)

Doctoral Students:
☐ Doctoral Dissertation Approval form with at least three signatures of examining committee members (no e-signatures)

My thesis contains multimedia elements: ☐ Yes ☐ No

Given Name: __________________________ Student Number: __________________________

Middle Name: __________________________ Email: __________________________

Family Name: __________________________

Grad Program: __________________________ Degree: __________________________

Title of Thesis:
This will appear on your official transcript; so please print clearly!

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 26 of the Freedom of Information and Protection of Privacy Act (“FIPA”), RSBC 1996, c. 165, 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 FIPA.

Graduate Studies use only:

Date thesis approved in cIRole Receipt email sent Thesis Clerk

DOCTORAL DISSERTATION APPROVAL

The student should submit this form directly to the Faculty of Graduate and Postdoctoral Studies together with other forms for final dissertation submission.

Student:

Given Name

Family Name

Student number:

In partial fulfillment of the requirements for the degree of:

Degree Name (e.g. PhD)

Graduate Program Name

Date of Dissertation Defence:

Dissertation Title:

Date (yyyy/mm/dd)

As research supervisor for the student named above, I certify by signing below 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. NOTE: We are not permitted to accept electronic signatures.

REQUIRED: I verify and endorse the content of the Preface: [Supervisor’s initials]

EITHER I verify that approval of UBC Research Ethics Boards was not required: [Supervisor’s initials]

OR I verify that approval of UBC Research Ethics Boards was obtained for research: [Supervisor’s initials]

Name of Research Supervisor

Signature of Research Supervisor

Date (yyyy/mm/dd)

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

Name of University Examiner

Signature of University Examiner

Date (yyyy/mm/dd)

Name of Examining Committee Member

Signature of Examining Committee Member

Date (yyyy/mm/dd)

Name of Examining Committee Member

Signature of Examining Committee Member

Date (yyyy/mm/dd)

Name of Examining Committee Member

Signature of Examining Committee Member

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.

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

Faculty of Graduate Studies use only:

Date thesis approved in cIRle

Receipt email sent

Thesis Clerk
# MASTER'S THESIS APPROVAL

The student should submit this form directly to the Faculty of Graduate and Postdoctoral Studies together with other forms for final thesis submission.

<table>
<thead>
<tr>
<th>Student:</th>
<th>Student number:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Green Name</td>
<td>Family Name</td>
</tr>
</tbody>
</table>

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:

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. **NOTE: We are not permitted to accept electronic signatures.**

**REQUIRED:** I verify and endorse the content of the Preface: [Supervisor’s initials]

**EITHER** I verify that approval of UBC Research Ethics Boards was not required: [Supervisor’s initials]

**OR** I verify that approval of UBC Research Ethics Boards was obtained for research: [Supervisor’s initials]

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<table>
<thead>
<tr>
<th>Name of Research Supervisor</th>
<th>Signature of Research Supervisor</th>
<th>Date (yyyy/mm/dd)</th>
</tr>
</thead>
</table>

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

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<table>
<thead>
<tr>
<th>Name of Examinining Committee Member</th>
<th>Signature of Examinining Committee Member</th>
<th>Date (yyyy/mm/dd)</th>
</tr>
</thead>
</table>

**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 student electronically in portable document format (*.pdf*), and the signed copies together will constitute a single fully signed document.

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**Graduate Studies use only:**

- Date thesis approved in cIRule
- Receipt email sent
- Thesis Clerk

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UBC Graduate and Postdoctoral Studies
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.
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

graduate.thesis@ubc.ca
You will be able to make any necessary changes and resubmit.

1. Submit completed forms
2. Set up cIRcle account
3. Request cIRcle account activation
4. Upload PDF of your thesis to cIRcle
5. Final formatting review of your thesis in cIRcle
6. Thesis Receipt
7. Program Closure
Availability of ETDs
Electronic Theses and Dissertations

- ETDs will be available online through:
  - UBC Library (in a few days)
  - Library and Archives Canada (harvested monthly)
- 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
# 2019/20 Degree Granting and Convocation Deadlines

<table>
<thead>
<tr>
<th>Degree granting month</th>
<th>November 2019</th>
<th>May 2020</th>
</tr>
</thead>
<tbody>
<tr>
<td>Thesis approved in cIRcle</td>
<td>October 18</td>
<td>April 17</td>
</tr>
<tr>
<td>Deadline to apply for graduation</td>
<td>September 15*</td>
<td>February 21*</td>
</tr>
</tbody>
</table>

*The deadline to apply for May & November graduation is considerably earlier than the final thesis submission deadline.*
Contact Information

General Questions / Pre-review & cIRcle account activation requests

• graduate.thesis@ubc.ca
Last revised September 17, 2019