THESIS GUIDELINES

It is the responsibility of the student and the supervisor to ensure that the thesis complies in all respects to these guidelines.

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Section 1: Thesis Preparation

This document uses the term ‘thesis’ to mean either a master’s thesis or a doctoral dissertation.

1.1 Thesis Preparation Overview

1. Prepare your thesis
2. Defend your thesis
3. Make revisions to your thesis
4. Submit all required thesis forms to the Faculty of Graduate Studies and submit your final thesis to the Faculty of Graduate Studies electronically via The Vault.

1.2 Copyright Permission

Your thesis will be submitted to the Faculty of Graduate Studies electronically via the Vault, our theses repository, as well as harvested by Libraries and Archives Canada for inclusion in their collection. Therefore, it is important that you obtain permissions for all third-party material used in your manuscript.

THE UNIVERSITY OF CALGARY

The University of Calgary is committed to compliance with the Copyright Act in all University publications. Small amounts of text, with proper citation are permitted. However, the copyright holder of a work has the right to reproduce his work and to adapt his work so you must seek permission to use any substantial amount of a work – e.g. a newspaper article, an image or photograph, video or audio files.

The Copyright Office is available to assist in determining the works for which permission should be requested and the best way to do this. However, the student is responsible for obtaining written permissions that then should be attached as a separate file with the manuscript. These requests should be started well in advance, preferably as soon as the thesis proposal is accepted. Copyright holders are often hard to track down and there are occasions when permission will be denied so time is of the essence.

General information on copyright and Thesis Copyright Guidelines can be found at http://library.ucalgary.ca/copyright/theses-guidelines. Questions regarding copyright can be directed to the Copyright Office’s email: copyright@ucalgary.ca.

LIBRARY AND ARCHIVES CANADA

You may have already published a portion of your thesis, for example as a journal article or part of a book. If you have assigned the copyright to your publisher, you need to obtain written permission to include it in your thesis. Please inform your publisher about the Theses Non-Exclusive License you have signed with Library and Archives Canada.
If your thesis includes material (e.g. a chapter, an article) that has been co-written with another author(s), you need permission from the author(s) before submitting it to Library and Archives Canada (via your university). Please inform the co-author(s) that you have signed a Theses Non-Exclusive License that authorizes Library and Archives Canada to preserve, perform, produce, reproduce, translate theses in any format, and to make available in print or online by telecommunication to the public for non-commercial purposes.

In all cases, written permission must accompany your thesis.

You must acknowledge all permissions in your thesis. The written permissions with original signatures must be submitted as a separate document when you submit your thesis to the Faculty of Graduate Studies.

Visit Canada Copyright Act and Library and Archives Canada – Theses Canada for more information.

Workshops: Copyright
The library offers workshops on the topic of copyright. It is strongly recommended that you attend one of these sessions during the planning stage of your thesis writing to avoid any copyright issues. Please see this link for a list of workshops: http://ucalgary.libcal.com/lcr-workshops and click on “Filter by Category: Copyright”.

Obtaining Copyright Permission
When copyright materials are used in your thesis, you must obtain letters of copyright permission. Acquiring these letters takes a considerable amount of time; students requesting such permission should do this well in advance of your thesis submission.

Copyright permission letters must be included in the appendices of your thesis with all signatures removed.

However, original copyright permission letters with signatures must also be submitted to FGS as a part of the required thesis forms.

When Permission is not Obtained
When letter of copyright permission cannot be obtained, the copyright material must be removed and a page or a line inserted in its place. This page/line should explain:
  o that the material involved has been removed because of copyright restrictions;
  o what information the material contained;
  o and the source of the material (e.g., providing a link to the original material)
1.3 Ethics Approval

All research involving human or animal subjects must receive ethics approval from the appropriate University of Calgary Research Ethics Board. Ethics approval must be submitted as a separate document to Faculty of Graduate Studies. The approval must not be included in the thesis.

1.4 General Format of the Thesis

Components of the thesis must be in the following order:

- Preliminary pages
  - Title page
  - Abstract (always numbered as page ii)
  - Preface (optional)
  - Acknowledgements (optional)
  - Dedication (optional)
  - Table of Contents
  - List of Tables (required if any)
  - List of Figures, Illustrations, Other Graphics (required if any)
  - List of Symbols, Abbreviations, Nomenclature (required if any)
  - Epigraph (optional)
- Body of Text
- Endnotes (required if any)
- Bibliography or References
- Appendices (should be included in the Table of Contents even if it is added as a separate file; please also include copyright permissions with signatures removed, if any)
- Index (optional)

1.5 Thesis Editing

Students may hire an editor to copyedit their theses, unless their program’s calendar entry prohibits copyediting. The student, supervisor and editor must abide by the following regulations:

1. Prior to hiring a copy editor, permission from the supervisor(s) must be obtained. An agreement outlining the permitted scope of editing must be signed by the student and the supervisor(s).
2. A disclosure statement is required in the thesis (e.g., a sentence in the preface or acknowledgment stating that the thesis has been professionally edited)
3. Under no circumstances should the copyediting alter the content, structure or contribution of the thesis.

Students must check their program’s regulations in the Faculty of Graduate Studies Calendar to see if copyediting is permitted before hiring a copy editor.
1.6 General Style

Page Size & Margins

- Standard page size is 8.5 inches x 11 inches (letter size)
- Recommended margins on all pages are:
  - Left: 1 inch or 2.54cm (1.5 inch if you wish to bind your thesis)
  - Right, top and bottom: 1 inch (2.54cm)

Typeface

Only one single typeface (font), with its italic and bold variants, may be used through the entire thesis, including the title page, approval page, acknowledgements, bibliography and appendices. (Exceptions to this can be made for footnotes, subscripts and superscripts, and for tables, figures or illustrations imported from other sources).

Font Size

We recommend using twelve-point font size (12 pt). This means that there must be approximately twelve characters per inch. However, in the case of certain fonts that have a large “x-height” (e.g., where a lowercase letter such as “x” is half or less the height of an uppercase “X”), eleven-point may be acceptable.

Justification

Justification must be consistent throughout the body of the thesis. A thesis may be fully justified (e.g., have even left- and right-hand margins), or left justified only (e.g., have ragged right-hand margins).

Line Spacing

All pages of the thesis are required be double or 1.5 spaced (including Abstract, Acknowledgements, Dedication, etc.).

Single spacing is only permitted in the cases of extensive Table of Contents, List of Tables, List of Figures, List of Plates, List of Symbols, Abbreviations, or Nomenclature and when there are extensive quotations within the body of the text.

Page Numbers

All pages in the thesis must be numbered, with the only exception of the title page.

The location of the page number must be consistent throughout the thesis.

Prefatory pages:
- must be numbered with lower case Roman numerals (e.g., i, ii, iii, iv, etc.)
- page “i” should not appear on the title page
- Abstract is always page “ii”

Body of thesis:
- Must be numbered with lower case Arabic numerals (1, 2, 3, etc.)
- The first page of the text is page “1”
- Subsequent pages are numbered continuously including bibliographies, appendices, and index
Page Headers

Some citation styles may require page headers (running headers), but you do not have to use running headers for a thesis. Page headers (running head) may be used as long as there is a line across the entire page to separate the header from the text and they must be chapter headings, not a version of the thesis title or your name.

Citation Style

Please consult your program and follow a citation style guide recommended by your discipline. The library offers free workshops on using various citation programs such as EndNote, Refworks, Mendeley, etc. It is strongly recommended that you attend these sessions during the planning stage of your thesis writing as these tools will greatly enhance the organization of your thesis and allow you to focus on the content of your thesis. Please see this link for a list of workshops: http://ucalgary.libcal.com/lcr-workshops

See a sample thesis

Section 2: Thesis Sections

2.1 Title Page

- All items on the Title Page must follow the model in the sample thesis. You can also use the title page template.
- All items on the Title Page must be centred within the margins.
- All items on the Title Page must be at least double-spaced. This includes the title and the name of the graduate program.
- The name of the University must be in uppercase letters.
- The title of the thesis as it appears on the Title Page MUST BE IDENTICAL to the title found on the Thesis Approval Form and on the Report of Final Oral Examination including the capitalization and punctuation.
- The title of the thesis must be in upper- and lowercase letters.
- The full title of the thesis cannot be longer than 240 characters (including letters and spaces).
- The word “by” must be in lowercase letters.
- The name of the author must be in upper- and lowercase letters, and identical in both places on the title page. Shortening or changing the name in the copyright area is unacceptable. The name used must be the author’s legal name as it appears in the University of Calgary records.
- The full name of the degree for which the thesis is presented must be written out, e.g., DEGREE OF MASTER OF ARTS, DEGREE OF MASTER OF SCIENCE, DEGREE OF DOCTOR OF PHILOSOPHY.
- In the case of an interdisciplinary degree, the Title Page remains the same except for the degree and department sections. The home graduate program should be listed first and
the other graduate program second. For example: GRADUATE PROGRAM IN BIOLOGICAL SCIENCES and GRADUATE PROGRAM IN MEDICAL SCIENCE.

- The full, official name of the graduate program must be written out, e.g., GRADUATE PROGRAM IN PSYCHOLOGY, GRADUATE PROGRAM IN GEOMATICS ENGINEERING.
- There is a comma between CALGARY and ALBERTA.
- There is a comma between the name of the month and the year. This date must be the month and year the final copy of the thesis is submitted to the Faculty of Graduate Studies.
- The universal copyright symbol (©) must appear to the left of your name, as indicated in the sample.
- There is no comma between the name and the year. The year must be the year that the final copy of the thesis is submitted to the Faculty of Graduate Studies.

2.2 Abstract
Abstracts in theses presented by candidates for Master’s degrees must be no longer than 150 words. Abstracts in theses presented by candidates for doctoral degrees must be no longer than 350 words. Hyphenated words or words separated by a slash are considered two words.

2.3 Table of Contents
The Table of Contents must include a listing of all items in the thesis. See 1.4 General Format of the Thesis for the order in which items must be listed. Everything, except the title page, including the Table of Contents itself, must be listed in the Table of Contents (see Sample Thesis).

Headings and sub-headings must be consistent between the Table of Contents and the body of the text. Although in the Table of Contents headings may be shortened to fit space requirements, the wording must be consistent enough that the reader will know that the correct heading, figure or table has been reached. All capitalization, punctuation, abbreviations, etc., must be consistent amongst the titles in the Table of Contents and Lists of Tables and Figures, and the actual titles as they appear in the body of the text.

2.4 Epigraph
An epigraph is an apt quotation that precedes the text of a chapter or of a book. Quotation marks are not used. The author and title of the source must be cited below the quotation. Further bibliographical information is optional for widely known authors and works and can be supplied in a note.

Example:

The last years of the eighteenth century are broken by a discontinuity similar to that which destroyed Renaissance thought at the beginning of the seventeenth.

Michel Foucault, The Order of Things: An Archaeology of the Human Sciences
2.5 Footnotes

Footnotes may be placed at the foot of the page (footnotes proper), in a group at the end of a chapter (called “Notes”), or grouped at the end of the thesis before the bibliography (called “Endnotes”). If notes or endnotes are collected at one place in the thesis, their location must be shown in the Table of Contents by title and page.

The student should check for any departmental requirements concerning the placing of footnotes.

Footnotes may be in a font smaller than the text of the thesis.

2.6 Bibliography

Any approved bibliographic/reference format may be used, but must be used consistently throughout. If an alphabetical format is used, strict order must be maintained. Generally, an author who has published a work on his/her own precedes any listing with multiple authors (e.g., a work by Smith, J. would precede a work by Smith, J. and F. Jones). Multiple works by one author (or one set of authors) should be listed chronologically or in reverse chronology in order of publication. The general rule is to list items in alphabetical order first, then in chronological order within the alphabetization.

There must be a single, unified bibliography in the thesis. It is not permissible to put individual listings at the end of each chapter in lieu of a full bibliography. If there are items other than printed works, such as works of art, in the listing, this section should be called “References”, rather than “Bibliography”.

2.7 Manuscript-based Thesis

Two formats of thesis are available to students: traditional thesis and manuscript-based thesis. With permission from their supervisor(s), students may choose to compose their theses in the manuscript-based thesis format where the research may be presented as a collection of papers of which the student is the primary author. These papers must have a cohesive, unitary character making them a report of a single program of research.

Although manuscript-based theses often contain published articles, or articles which have been accepted for publication, the inclusion of these papers does not guarantee that the thesis will pass the thesis examination.

Definition of manuscript-based thesis:
A manuscript-based thesis, by definition of the Faculty of Graduate Studies, is a collection of manuscripts that have been submitted to reputable peer-reviewed journals in the student’s field of study, and may have already been published, or accepted for publication. The thesis must include an introduction (chapter 1) followed by the papers (normally, a paper is a stand-alone chapter) and a concluding chapter.
If a student chooses to present their thesis in the manuscript-based format, the thesis must conform to the following:

**Formatting:**
- All papers must be reformatted so that they conform to the formatting requirements outlined in this document.
- If each paper has its own reference list, the bibliography at the end of the thesis need not report those items. However, if differing citation styles were used in the included papers, they must be reformatted so that only one citation style is used throughout the entire thesis.

**Chapters:**
- The thesis needs to be more than a collection of manuscripts. There must be an introductory chapter that a) provides an overview of the separate chapters (papers) and b) integrates the general themes of the research and paper included. The introductory chapter may also include additional literature review relevant to the thesis topic that does not appear in the chapters (papers).
- In the case where multi-authored paper(s) have been included, a statement of contribution to clarify student’s and all co-authors’ contributions must be provided in the introductory chapter.
- All components must be integrated into a cohesive unit with a logical progression from one chapter to the next. The thesis must have connecting texts to provide logical bridges between each chapter. Continuity and cohesiveness are key elements in the manuscript-based thesis.
- A concluding chapter integrating the findings of the individual chapters (papers) must also be provided.

**Authorship:**
- The student must have done the majority of the writing, and be the primary contributor to the research, of all papers included in the thesis.
- In cases where all members of the supervisory committee also appear as co-authors of the papers used, an additional member who has not co-authored the papers must be added to the examining committee.
- Multiple-authored papers cannot be used in more than one thesis.
- In cases where two students have worked collaboratively on projects and contributed equally, it is recommended that both students write traditional format theses, identifying their individual contributions.

**Copyright:**
- In the case of already published works, the student must obtain permission from the publishers before including papers in her/his thesis (Letters of Permission must be submitted to FGS as supporting documents).
• The student must obtain permissions from each co-author in the case where multi-authored papers are used (Letters of Permission must be submitted to FGS as supporting documents along with the mandatory thesis forms).

• Publishers, copyright holders and co-authors must a) agree to the terms outlined in the University of Calgary Non-Exclusive Distribution License, b) be made aware that all University of Calgary Theses are also harvested by the Library and Archives Canada, and c) be made aware that University of Calgary theses may be submitted to ProQuest (currently at the student’s discretion).

Section 3: Thesis Submission

3.1 Prepare for Thesis Submission

Usually it is recommended that you format your thesis during the process of thesis writing. Once you have completed the content of your thesis and your supervisor/supervisory committee indicates that your thesis is acceptable for defence, you should check the format of your thesis to ensure all formatting is done according to the specifications listed in Sections 1 and 2.

Once you have successfully completed your oral examination and made necessary changes to your thesis, you may start the process of thesis submission.

3.2 Thesis Approval Form

The Thesis Approval Form can be downloaded here: http://grad.ucalgary.ca/current/thesis/ethesis

The title of your thesis on the Thesis Approval Form must be exactly the same as the title of the thesis on the Title Page.

The Thesis Approval Form must be submitted as a separate document when the student submits thesis forms to Faculty of Graduate Studies. DO NOT INCLUDE THE FORM IN THE THESIS.

3.3 Supervisor’s & Department/Program’s Copy

Supervisor and department may request a final copy of the thesis. It is your responsibility to consult your supervisor and department to see their requirements. The supervisor or the department may, for example, accept an electronic copy of the thesis or request a bound paper version.
The student is responsible for the cost of reproducing the required number of copies of the thesis and for having copies bound, if required. A list of suggested binderies can be found on the FGS website: http://grad.ucalgary.ca/current/thesis/resources.

If the supervisor or the program requires a hardcover version, copies are bound in buckram, in the colour appropriate to your department, with a spine title not exceeding 41 characters (including all letters and spaces), your name and the convocation year, printed in gold.

3.4 Final Submission to FGS

Starting September 29th, 2012, electronic submission to the Vault, the University of Calgary Theses Repository, is mandatory for all graduate students.

Before Submission

Please check your thesis for correct formatting and proofread your thesis carefully before attempting to submit your thesis. You cannot make any changes to your thesis after it has been approved by FGS.

Your thesis must be in a single PDF file.

NOTE: Your thesis will be harvested by Library and Archives Canada.

Submit Required Thesis Forms

Thesis forms must be submitted prior to submitting your thesis to The Vault. Your submission will be declined if the forms are not received in advance.

The FGS will not review and approve your thesis without all required forms. Complete and submit the following documents to the FGS Office (MLT 213) in person. All required forms must be submitted as one package, the FGS will not accept forms in parts. All forms must be received no later than 4:30 pm on the deadline date.

Mandatory:

1. Thesis Submission Cover Sheet
2. Thesis Title page (as it appears in your thesis)
3. Thesis Approval Form with signatures
4. Notice of Completion for Thesis-based Students
5. Library and Archives Canada Theses Non-Exclusive License

If Applicable:

6. Thesis Withhold Form
7. Ethics/Animal Protocol approval with original signatures
8. Copyright Permission Letter(s) with original signatures
9. ProQuest Distribution Agreement
10. A PDF copy of your thesis

Forms may be found on the FGS website: http://grad.ucalgary.ca/current/thesis/ethesis.
If you are not able to submit your thesis forms in person, you may be permitted to submit these forms electronically after approval from FGS.

After you have submitted your forms, please proceed with electronic submission of your thesis.

Submit Your Thesis to The Vault
Check the eThesis Submission Manual for more details: http://grad.ucalgary.ca/current/thesis/ethesis

The thesis must be submitted to the Vault no later than **11:59pm (MST) on the deadline date** to be considered to have met the deadline.

Please proofread your thesis carefully prior to submitting. Once your thesis is approved, changes will NOT be allowed.

Do you need a withhold? All theses will be released on the convocation date if withhold is not requested and approved prior to submission (see Section 3.5).

Approval by FGS
Upon receiving the complete submission, FGS staff will review your electronic thesis to ensure that it meets the required specifications, and all supporting documents are received. Depending on the review, the FGS will either:

1. **Approve** your submission; an email notification of approval will be sent to you.

   (Your thesis will be released and be made publicly available one week after your convocation. Please note that submitting and receiving approval for your thesis is partial fulfillment of your graduation requirements. Continue to check your Convocation Status in your Student Centre to ensure that you have completed all the graduation requirements and are cleared for convocation),

   Or

2. **Decline** your submission. An email from FGS will be sent to you; you will be required to make any modifications instructed by the FGS and **resubmit** via the Vault.

Please note that your thesis submission is **not complete** until you have received a final email confirming that your thesis has been approved and archived in the Vault.

Thesis must be submitted to the repository no later than **11:59pm (MST) on the deadline date** to be considered to have met the deadline.
3.5 Delay in Public Release of Theses

The University of Calgary is a publicly funded institution and much of our research is sponsored by government funding. As such, the University has an obligation to ensure that this research is available for the benefit of the public at large, for example, through the University of Calgary’s online repository. However, in some circumstances where it would be detrimental to the author or the sponsor of the thesis research to have the thesis made publicly available immediately upon completion, the copyright owner of a thesis may request that it be withheld from public distribution for a period of time. Valid reasons to withhold a thesis from public distribution include:

1. A contract between the research sponsor and the University specifies a period of confidentiality (normally up to two years; proof of contract is required)
2. Applying for a patent (normally up to two years; proof of application is required)
3. Enabling publication in a scholarly venue (normally up to five years; a publication plan is required)
4. Publishing of the creative portion of a creative work (normally up to five years with the possibility of extending to duration of copyright; supporting document such as proof of contract, letters from the publisher are required). Controlled access to the complete thesis will be available through the University of Calgary Archives after the initial withhold period.

A Thesis Withhold Form may be obtained from the Faculty of Graduate Studies. Once the appropriate signatures have been obtained, and the Dean of Graduate Studies has approved the request, the copyright owner of the thesis, the department and the University of Calgary Archives will receive copies of the form. Once the withhold period expires the thesis will be sent to Library and Archives Canada, and will also be made available to the public. In the event that a withhold is requested to be released earlier than scheduled, a memo must be supplied explaining the reasons for such a request and must demonstrate consent from all related parties.

Useful Resources:

Sample Thesis
How to Apply for Graduation
Library and Archives Canada – Theses Canada
University of Calgary Library – Copyright
Canada Copyright Act
University of Calgary Theses Repository – The Vault