HANDBOOK OF SUPERVISION AND EXAMINATION

Part III: Doctor of Philosophy / Doctor of Education Degree

Preamble
This handbook contains the rules, guidelines and procedures of the Faculty of Graduate Studies that pertain to the administration of graduate programs and to the appointment of graduate supervisors. While the rules are stated in fixed or absolute terms, it is intended that they be administered with some degree of flexibility and, to that end, the Dean of Graduate Studies is empowered to grant exceptions, extensions and variances, upon written request and explanation. Requests, whether from students or faculty members, should be made over the signature of the Graduate Coordinator of the program concerned.

The Head of a Department, Director of an interdisciplinary program or, in the case of non-departmentalized faculties, the Dean of the Faculty, is responsible for graduate programs. However, this responsibility is normally delegated to a Graduate Coordinator. In this document, for the sake of clarity in describing common practice, the Graduate Coordinator is referred to as the person responsible for the graduate program.

Please note that in this document "the Dean" refers to the Dean of Graduate Studies unless otherwise noted.

The Handbook of Supervision and Examination is published annually on 1 September. Changes made to the regulations during the year are indicated within the text.

Supervisors and Supervisory Committees

1.0 Selection of a Supervisor

1.1 General Advice to Students
All students must have either an interim advisor or an approved supervisor at the time of first registration, and a permanent supervisor no later than the second annual registration. It would help the student in program planning if the selection of a supervisor were completed as quickly as possible. Students are encouraged to think about and select their areas of specialization as early as possible, and preferably before beginning the program.

For further information, review the Guidelines Governing the Supervisory Relationship at http://www.grad.ucalgary.ca > Policies and Procedures > Supervision.

1.2 Supervisor Selection
The selection of a supervisor should be by mutual agreement between student and faculty member, and approved by the Graduate Coordinator. Difficulties or conflicts in selecting or recommending a supervisor should be referred promptly to the Dean by any of the persons involved.

1.2.1 Supervisor Eligibility Requirements
Continuity of supervision throughout a graduate program is important to a student’s success. Normally, faculty members with full-time teaching and research Board appointments are chosen as supervisors. However, there are occasions when it is to the student’s advantage for a program...
to recommend the appointment of a supervisor who does not have a full-time Board appointment. For example, an individual who holds an appointment that is term certain, specific term, part-time, clinical or adjunct, or honorary, or has emeritus status, or is from outside the University, may be appointed supervisor. In cases such as these, the Faculty of Graduate Studies requires assurance that the proposed supervisor will be able to provide continuity.

The proposed supervisor must understand the commitment expected in terms of time and funding and be familiar with graduate program and Faculty of Graduate Studies regulations. The Graduate Coordinator must ensure that supervision will be provided for the probable time period required for the completion of the degree program.

If the proposed supervisor is someone from outside the graduate program who does not have a full-time Board appointment, or is from outside the University of Calgary, a co-supervisor must be appointed.

The supervisor should be currently active in research in an area related to the student's interest. Faculty members working on their own graduate degrees cannot be approved in any supervisory capacity without special dispensation from the Dean. For detailed policy and the required forms, see http://www.grad.ucalgary.ca > Policies and Procedures.

1.2.2 Conflict of Interest

The relationship between supervisor and student is an academic one. Where other relationships exist or develop that might give the appearance of conflict of interest they must be immediately reported to the Graduate Coordinator and to the Dean.

1.3 Appointment of Co-supervisor

A co-supervisor may be appointed by the Graduate Coordinator upon the written recommendation of the supervisor and agreement of the student. The role of the co-supervisor is to provide supplementary guidance, instruction and research stimulation on a regular or extensive basis.

1.4 Supervisor from Outside the Department, Program, or Faculty

A supervisor may be from a department, program, or faculty other than the student's home department, program, or faculty. The recommendation must be endorsed by the student. Such an "external" supervisor must agree to be responsible to the Graduate Coordinator of the student's home department in all matters related to the supervisory responsibilities.

1.5 Continuity of Supervision

Students are entitled to continuity of supervision. In the case of the resignation, illness or death of the supervisor, the Graduate Coordinator must make immediate arrangements to provide continuity of supervision pending the appointment of a new supervisor.

1.6 Supervisor Selection and Approval Deadlines

Regular students are required to have approved supervisors within twelve months of initial registration. Doctoral students admitted as special case admissions must have an approved supervisor and supervisory committee before admission.

1.7 Supervisory Committee

The supervisor and Graduate Coordinator must recommend a supervisory committee to the Dean no later than three months after the appointment of the supervisor.

1.8 Special Case Graduate Admission

When there are resources within a department/graduate program available for a student to undertake graduate studies, but no appropriate formal graduate degree program, e.g., a PhD degree program, exists, the student may be admitted as a Special Case Graduate Admission. The Dean must be satisfied that the student is worthy of special consideration and that the department/graduate program recommending admission can offer a viable program of studies
with specialization in the student's field of interest. Requests for the admission of special case students should not be frequent. Departments/programs that resort to this process frequently should submit an application for the approval of a doctoral program.

Guidelines for the preparation of a request for special case admission are available at http://www.grad.ucalgary.ca > Policies and Procedures.

1.8.1 Supervision for Special Case Admissions

A supervisor for a special case admission must be recommended and approved by the Dean before the admission is approved. Graduate Coordinators should recommend only experienced supervisors whose areas of research closely match those of the students.

2.0 Responsibilities of Supervisors

2.1 Knowledge of Rules and Procedures

Supervisors should be familiar with the rules and procedures of the Faculty of Graduate Studies (see also flowcharts at the end of this document). A supervisor should be fully informed of the academic schedule in the University calendars at http://www.ucalgary.ca/pubs/calendar. Both student and supervisor are responsible for ensuring compliance with all Faculty of Graduate Studies and program regulations and requirements.

2.2 Meetings between Student and Supervisor

A student and supervisor have a shared responsibility to meet on a regular basis.

2.3 The Role of the Supervisor

The supervisor should act both as a general academic tutor, with emphasis on guidance, instruction, and encouragement of scholarship and research, and as a judge of the student's performance. Because of their own involvement in research and related professional activities, supervisors should provide professional guidance and research stimulation to their students. A fundamental duty of the supervisor is to impart to the student the skills necessary to plan and conduct original research.

Specifically, the supervisor should:

Advise the student on the establishment of a realistic timetable for the completion of the various requirements of the program of study;

Develop a relationship with the student conducive to research and intellectual growth;

Guide the student in the pursuit of knowledge and provide constructive criticism in support of the highest standards of research and professional development.

2.4 Participation of Supervisor in Thesis Preparation

The supervisor should be involved during the preparation of the draft thesis, but should not impose any particular orientations on the student. The supervisor should attempt to be critically constructive and encouraging but the thesis must be the creation of the student.

2.5 Supervisory Provision for Leave of Absence

A supervisor must ensure that the student is provided with adequate supervision during extended periods of leave, through the appointment of an interim supervisor. In doctoral programs, the interim supervisor should be a member of the supervisory committee. Faculty members should plan an appropriate reduction in their supervisory responsibilities prior to and during leaves of absence. Students should be informed well in advance about the supervisor's plans for forthcoming leaves of absence. Supervisors granted research leave under certain programs, such as Killam Resident Fellowships, but not Sabbatical Fellowships, are expected to continue to supervise their students.
2.5.1 Supervision During Absence of Supervisor
Faculty members are responsible for the continued supervision of their students. When planning leaves of absence of any kind they must, in consultation with their students and the Graduate Coordinator, make satisfactory arrangements for the continuation of each student's supervision. These arrangements must be communicated in writing to the Graduate Coordinator, who bears the responsibility for ensuring continuity of supervision for students in his/her graduate program.

2.5.2 Interim Supervisory Arrangements
When an interim supervisor is appointed to cover a period of a supervisor's absence, the regular supervisor retains final responsibility for the adequate supervision of the student. Faculty members approved as interim supervisors must indicate in writing to the Graduate Coordinator their willingness to accept responsibility for the day-to-day supervision of such students.

2.6 The Supervisor and Setting up Examinations
The supervisor is responsible for setting up the candidacy examination and the thesis oral examination.

2.7 Suggested Procedures in the Event of Problems between Graduate Students and Their Supervisors
Students should first try to resolve problems with supervisors by talking to the supervisor. Supervisory committee members might be able to give helpful advice in this situation. Problems that are not resolved in this fashion should be discussed with the Graduate Coordinator, and then the Department Head or equivalent. If it appears that a solution cannot be reached, the student and/or the Graduate Coordinator may consult the Faculty of Graduate Studies for advice about the correct route to follow to bring resolution to the matter.

2.8 Procedures for the Curtailment of Supervisory Duties
The Dean of Graduate Studies approves the initial appointment of a faculty member to supervisory duties. If a complaint is made against a supervisor, the Dean will first discuss the matter with the Department Head or equivalent, and then with the faculty member concerned. The issue may be resolved informally. If the Dean decides that a more formal approach is needed to resolve the dispute, the Dean will inform both the Head and the faculty member of his/her conclusions in writing. If the result of the Dean’s investigation is curtailment of the supervisory duties of the faculty member, the Dean will inform the faculty member in writing.

3.0 Doctoral Supervisory Committee

3.1 Doctoral Program Supervisory Committee
A student’s doctoral program shall be under the general supervision of an official supervisory committee. The establishment of a supervisory committee is one of the first tasks of the supervisor. The Committee should be established as soon as possible and no later than three months after the supervisor's appointment.

3.2 Composition of the Supervisory Committee
The supervisory committee should be constituted by the supervisor in consultation with the student. It will normally consist of the supervisor and two members, and be recommended by the Graduate Coordinator for approval by the Dean. One of the two members may be external to the student's program. At least one of the members of the supervisory committee should have had supervisory experience at the doctoral level.

3.3 Supervisor as Chair of Supervisory Committee
The supervisor will normally chair the supervisory committee, unless the Graduate Coordinator recommends otherwise.
3.4 Duties of a Supervisory Committee

Members of a doctoral supervisory committee should provide support to both the student and the supervisor by expanding the range of expertise and experience available to advise and assess the student. Members should provide constructive criticism and discussion of the student's ideas, methods and performance as the program develops; should be accessible to the student for consultation and discussion; should suggest other sources of information to the student; and must participate in examinations and in periodic meetings with the student and provide regular assessment of the student's progress as required by the program regulations.

With the exception of the supervisor, and co-supervisor if any, members shall neither review nor approve successive thesis drafts.

THE DOCTORAL THESIS

4.0 Thesis Quality Requirements

The doctoral thesis must embody original work, and must constitute a significant contribution to knowledge. It should contain evidence of critical understanding of the relevant literature. The material embodied in the thesis should merit publication.

The general form and style of thesis may differ from program to program, but all theses shall be presented as a connected and continuous text. The thesis may cite materials already published by the candidate whether alone or in conjunction with others but, if these previously published materials are included, they must be fully integrated into the thesis, and it should be made clear what exactly is the student's own work and what is the work of other researchers.

While it is expected that the thesis could be the basis for a publication, the supervisor and examiners should recognize that even an excellent thesis might not be perfect in all respects. 'Perfection' is not a prerequisite for acceptance of the thesis as a "partial fulfilment of the requirements for the degree". The thesis is an academic exercise, which, like all such exercises, may vary in quality from passable to outstanding.

For information on formatting, printing, binding and distribution of theses, see the Thesis Guidelines at [http://www.grad.ucalgary.ca >Policies and Procedures > Thesis].

EXAMINING COMMITTEES, EXAMINATIONS AND STANDARDS

5.0 Standards of Performance

5.1 Performance in Course Work

Standards of performance in course work are the responsibility of individual departments and Faculties. However, to remain in good standing in a program of graduate study, a student must maintain the minimum grade point average (GPA) required by the Faculty of Graduate Studies (see the Graduate Grading System in the Calendar.)

5.2 Judgement of Student Performance

Supervisors and Graduate Coordinators must inform students on a regular basis about their academic progress. If a student's performance is judged to be below an acceptable level, this judgement should be expressed to the student formally and in writing at as early a stage in the program as possible. A student may be required to withdraw from the Faculty of Graduate Studies for reasons of "unsatisfactory progress" (see also section 6.2).

5.3 Annual Progress Report

The supervisor and each continuing student must jointly submit an annual progress report on the student's performance. This form must be signed by the supervisor, the Graduate Coordinator, and the student, and must be made available to the Faculty of Graduate Studies upon request. The
student must sign the report after the supervisor and the Graduate Coordinator have completed their comments to acknowledge that he/she has reviewed these comments.

6.0 Faculty of Graduate Studies Examinations

6.1 Faculty Examination Requirements
The Faculty of Graduate Studies requires that candidates for doctoral degrees sit both an oral candidacy examination and a thesis oral examination.

6.1.1 Faculty Regulations
Since candidacy oral examinations and thesis oral examinations are examinations of the Faculty of Graduate Studies, they are to be conducted in accordance with Faculty rules. No changes in approved timetables, composition of examination committees, sequences of events, etc., may be introduced without prior approval from the Dean.

6.2 Program Examination Requirements and Standards
Program requirements may include examinations that are in addition to the Faculty of Graduate Studies requirements. Programs are entitled to set their own standards of adequate performance in such examinations, provided these are not in conflict with Faculty of Graduate Studies standards. When a student fails to meet either Faculty or program standards, the program may recommend to the Dean that the student be required to withdraw. (See also section 5.2).

6.3 Communication of Examination Requirements to Students
Programs should provide their students, as early as possible, with information about the precise nature and form of program examinations and tests.

7.0 Candidacy Examinations
Although the oral candidacy examination is the official Faculty of Graduate Studies examination, graduate programs have the option of adding a written component. If there is a written component, the period during which the written examination and the oral examination are conducted must not exceed one month. If the student fails the written component of the candidacy examination, the oral examination must still go ahead as scheduled.


7.1 Rationale for Candidacy Examinations
The candidacy examination should focus on the background knowledge of students in their discipline, as well as their preparedness to do research of high quality in their particular fields of study. Examination on the specific thesis research that the student has chosen is usually considered secondary to the main purpose of the candidacy.

7.2 Program Guidelines and Regulations
The candidacy examination is a Faculty of Graduate Studies examination. The general form is described in 7.1, but individual programs determine the precise requirements. All programs that have requirements additional to the oral examination must have written guidelines describing these and appropriate regulations. These guidelines and regulations must be given to doctoral students as soon as they enter the program.

7.2.1 Written Doctoral Candidacy Examinations
Written candidacy examinations are not part of the Faculty of Graduate Studies candidacy but may be required by graduate programs. If a written candidacy examination is set by the graduate program, the period during which the written and the oral candidacy examinations are conducted must not exceed one month. The written examination should be circulated among the examiners and may serve as a basis for questioning at the oral. Whether or not a program requires a written
candidacy examination, all students must take the oral examination.

7.3 Assessment of the Candidacy Examinations
Assessment of the candidacy examination must take place immediately following the completion of the oral candidacy examination. This assessment should be based on the candidate's overall performance in all components of the examination.

7.4 Candidacy Examination and Course Work
The candidacy examination must be held after all required course work has been completed, and the supervisory committee has approved a thesis research proposal. No further course work may be required of a student who has successfully completed the candidacy examinations.

7.5 The Timing of Candidacy Examinations
A student entering a doctoral program with a completed Master's degree must attempt the candidacy examinations no later than twenty-eight months after initial registration in the doctoral program. A student entering a doctoral program with a bachelor's degree, or transferring into a doctoral program from a Master's program before the Master's program is completed, must attempt the candidacy examinations no later than thirty-six months after initial registration in the Faculty of Graduate Studies.

7.6 Establishing the Candidacy Examination Committee
A written recommendation to the Dean on the composition of the candidacy examination committee must be received in the Faculty of Graduate Studies office at least four weeks before the scheduled date of the examination. The committee will not be approved earlier than three months before the planned examination date.

7.7 Composition of the Candidacy Examination Committee
Normally, the candidacy examination committee must consist of the supervisory committee plus two additional members, one of whom is external to the program. However, a graduate program may choose to have the supervisor attend the candidacy examination as a non-voting observer. The Graduate Calendar notes programs that have chosen this option. In this case, the committee must consist of members of the supervisory committee without the supervisor plus two additional members, one of whom is external to the program.

7.7.1 Chair of the Candidacy Examination Committee
The examination is chaired by a member of the academic staff appointed by the Dean upon recommendation of the Graduate Coordinator. He/she is not a member of the examining committee and is non-voting.

7.7.2 Responsibilities of the Chair and the Supervisor
The chair chairs the candidacy examination and reports the results to the Dean and the student. The supervisor initiates all arrangements related to the scheduling of the examination.

7.7.3 Non-Board Appointees on Examination Committee
Persons who are not Board appointees of the University of Calgary may be approved to serve on candidacy examination committees. A recommendation to the Dean by the Graduate Coordinator for such an appointment must be accompanied by a curriculum vitae.

7.8 Notice of Candidacy Oral Examination
The official Notice of Candidacy Oral Examination form, indicating the time and place of the examination, the names of the recommended members of the examination committee, and confirming that the candidate has completed program requirements and is not on withhold for any reason, endorsed by the Graduate Coordinator, must be received in the Faculty of Graduate Studies office at least four weeks before the time of examination.
7.9  Attendance at Candidacy Oral Examinations
The candidacy oral examination is a formal examination limited to the examination committee and the student. The Dean or Dean's representative and the Department Head or equivalent, or designate, may attend without prior notice.

8.0  Conduct of Candidacy Oral Examination

8.1  Examination Regulations
No one other than a member of the examination committee is allowed to question the candidate. All examiners should be given an opportunity to question the candidate during the early part of the examination, e.g., by rounds of questioning.

8.2  Suggested Examination Procedure
Questions to the candidate should be clear and succinct. The student should be given reasonable time to answer. If the student has understood the question and cannot answer, the examiner should pass to another question and not attempt to extract an answer by prolonged interrogation. The chair should guard against any tendency of examiners to interact with each other instead of concentrating on the examination of the candidate.

8.3  Length of Examination
The candidacy examination should not exceed two hours.

9.0  Post Candidacy Oral Examination Procedures

9.1  Official Examiners’ Discussion
At the end of the candidacy examination, the student is asked to withdraw from the room. If the program has chosen to allow the supervisor to attend the examination as a non-voting observer, at the end of the candidacy examination the student and the supervisor are asked to withdraw from the room. Before any discussion of the candidate's performance, each examiner must identify, by secret ballot, which recommendation he/she favours. This procedure provides the committee with a frame of opinion upon which to base a full discussion of the student's performance. The examiners then conduct a post-examination discussion, in which the Department Head or equivalent, or designate (e.g., Graduate Coordinator), and the Dean or Dean's representative may participate, although they have no vote.

9.2  Recommendation of the Candidacy Examination Committee
Each examiner must record a recommendation of pass or fail on the official Faculty of Graduate Studies Report of Candidacy Oral Examination form. If all the recommendations are “pass,” the Chair will record a committee recommendation of “pass” on the form, and if all the recommendations are “fail,” the Chair will record a committee recommendation of “fail.”

In the event of a recommendation of “fail,” the committee will recommend either that the student be allowed a retake of the examination or be withdrawn from program. Within five working days of the failed examination, each committee member will provide the Dean with a written assessment of the examination. In addition, the chair must submit a written appraisal of the examination. The reports and the chair’s assessment must be copied to the Graduate Coordinator.

In the case of a hung jury (when the examining committee members are not unanimous in their recommendations), the Chair will adjourn the post-examination discussion, immediately inform the Dean of Graduate Studies, and within one working day, each member of the examining committee will provide the Dean with a written assessment of the examination. The reports must be copied to the Graduate Coordinator.

The chair must inform the student of the outcome of the examination immediately following the decision of the examination committee.
The Report of Candidacy Oral Examination must be submitted to the Dean within one working day of the completion of the examination.

9.3 Re-take of Candidacy Examination

Only one re-take of a candidacy examination will be permitted. The re-take must take place no sooner than two months and no later than six months from the date of the first examination.

9.4 Dean's Action in the Case of a Hung Jury

When the examination committee cannot make a unanimous recommendation, the Dean may consult with the Graduate Coordinator, the members of the examination committee, and the Dean's representative at the examination (if in attendance) before making a decision on the matter. At her/his discretion, the Dean may consult with the student as well.

If the decision is that the examination was failed, the Dean will further determine if a re-take is permitted. Following consultations, the Dean must decide the outcome of the examination within seven business days of receiving all the required post-examination reports. If a re-take is permitted, the Dean will review the membership of the examining committee.

10.0 Thesis Oral Examinations

10.1 Right of Student to Submit and Defend Thesis

A student who has successfully completed all Faculty of Graduate Studies and program requirements has the right to submit and defend a thesis even if doing so may be contrary to the advice of the supervisor.

10.2 Composition of the Thesis Oral Examination Committee

The thesis oral examination committee shall consist of the student's supervisory committee and at least two other examiners, one of whom shall be external to the student's home program and the other external to the University. The composition of the committee must be approved by the Dean, upon the recommendation of the Graduate Coordinator. In certain circumstances the Dean may approve a recommendation that the examiner external to the University not attend the thesis oral examination in person, but participate electronically, by teleconference or videoconference. In rare cases, the Dean may approve a recommendation that the examiner external to the University not attend the oral examination in person, but furnish the examination committee with a list of questions to be put to the candidate together with a detailed appraisal of the thesis. When acting in this capacity, the examiner external to the University is designated the external reader.

10.2.1 Examiner External to the University

The Graduate Coordinator must recommend the examiner external to the University to the Dean at least six weeks before the proposed date of the examination on the form Approval of External Examiner or Reader, accompanied by a curriculum vitae. For further guidelines on external examiners and readers, refer to http://www.grad.ucalgary.ca > Policies and Procedures > Examination.

10.2.2 Relationship of the Examiner External to the University to the Student

In order to ensure impartiality, the proposed Examiner must not be a close personal friend of the candidate’s supervisor, have collaborated with the supervisor in the last five years, be closely related to the candidate, nor have worked with the candidate, and must not have been a supervisor in the candidate’s graduate program for the last three years. If any of the criteria are not met, the proposed Examiner is not necessarily precluded from serving, but the graduate program must clearly explain the circumstances to the Faculty of Graduate Studies.

10.2.3 Non-Board Appointees on Examination Committees

Persons who are not Board appointees of the University of Calgary may be approved to serve on thesis oral examination committees. A recommendation to the Dean by the Graduate Coordinator
for such an appointment must be accompanied by a curriculum vitae.

10.2.4 The Chair

The examination is chaired by a member of the academic staff appointed by the Dean upon the recommendation of the Graduate Coordinator. He/she is not a member of the examining committee and is non-voting.

10.2.5 Responsibilities of the Chair and the Supervisor

The chair chairs the thesis oral examination and reports the results to the Dean and the student. The supervisor should initiate all arrangements related to the scheduling of the examination.

10.3 Composition of Examination Committee for Re-take of Thesis Oral Examination

The examination committee formed to re-examine a student should not be identical to the examination committee of the first examination. At least one member should be replaced. As well, upon the recommendation of the Graduate Coordinator, a new examiner external to the University may be appointed.

10.3.1 Appointment of Examination Committee for Re-take of Examination

The deadlines for the recommendation of the examination committee are as for the original examination.

11.0 Scheduling the Thesis Oral Examination

11.1 Supervisor Responsibility

The supervisor is responsible for all steps in setting up the thesis oral examination.

11.2 Notice of Thesis Oral Examination

The original Notice of Thesis Oral Examination form, indicating the title of the thesis, the time and place of the examination, and the names of the recommended examiners, and confirming that the candidate has completed all program requirements, endorsed by the Graduate Coordinator, must be received in the Faculty of Graduate Studies office at least four weeks prior to the time of the examination. The committee will not be approved earlier than three months before the planned examination date.

11.2.1 Posting the Notice of Thesis Oral Examination

The Notice of Thesis Oral Examination form, bearing the signatures of the student, the supervisor, the Graduate Coordinator and the Dean, or designate, must be posted at least two weeks before the date of the examination. The Graduate Coordinator must ensure that copies of the Notice are sent to the student and to members of the examination committee.

11.2.2 Student Approval of Designated Area of Specialization

The format of the University degree parchment presented to successful candidates shows the degree, the department or area of study, and the approved area of specialization. Students should ensure that the proposed area of specialization identified on the Notice of Thesis Oral Examination form is correct, before it is sent to the Faculty of Graduate Studies.

11.3 Form of Thesis

The thesis submitted to the members of the examination committee for final examination must be in all respects a final, complete copy and not a draft.

11.4 Thesis to Examiners

The student must ensure that the thesis is in the hands of the examiners (including the examiner external to the University) at least three weeks prior to the proposed date of the oral examination. The examination begins when the thesis is distributed. If, after reading the thesis, the examiner thinks that the student will fail the examination, the examiner shall not contact the supervisor or any other examining committee member before the oral examination to discuss the possible
outcome of the examination. The *Examiner’s Report* is considered a confidential document and must not be shared with the candidate or the other examining committee members before the final decision of the examining committee.

**11.5 Format of Final Thesis Oral Examination**

Final thesis oral examinations are designated "open" or "closed". Such determination is made by the Department/Graduate Program and is described in program listing in the Graduate Calendar. Attendance at a closed examination is limited, but may be preceded by a public presentation on the same day. What transpires at the public presentation is not considered part of the examination. Open examinations are open to the public, but only the examiners may question the student. If a program has opted to hold open examinations, a student has a right to choose, without prejudice, a closed examination and no public presentation.

In both open and closed examinations, the examiners' deliberations are private and confidential. Only the chair, the examining committee, and, if present, the Department/Program Head and the Dean or Dean's Representative may be present.

**11.5.1 Attendance at Closed Thesis Oral Examinations**

No more than ten people may be present at a closed examination. This number includes the chair, voting or non-voting, the examining committee, the Department/Program Head and any such additional persons as are approved by the Dean. The Dean and/or Dean's representative may attend any oral examination without prior notice. The names of the people in attendance, with the exception of the Dean and/or Dean's representative and the Department/Program Head or designate must appear on the Notice of Thesis Oral Examination form.

**11.5.2 Attendance at Open Thesis Oral Examinations**

Open examinations are open to the public.

**12.0 Conduct of Thesis Oral Examination**

**12.1 Examiner’s Report on Thesis**

Before the oral examination, each examiner is required to prepare an assessment of the thesis, on the official *Examiner's Report on Thesis* form. These assessments are to be submitted to the chair of the examination committee before the oral examination begins. The assessments are CONFIDENTIAL: they are not to be made available to the student or to the examination committee before the final decision of the examination committee. After the examination, the chair should transmit the reports to the Dean with copies to the Graduate Coordinator. After the examination, the graduate program must make the Examiners' Reports available to the student, upon request.

**12.2 Examination Regulations**

**12.2.1 Formal Examination**

The oral examination is a formal examination, not an informal discussion with the candidate.

**12.2.2 Questioning of the Candidate**

No one other than an examiner (as identified on the *Notice of Thesis Oral Examination* form) is allowed to question the candidate. All examiners must be given an opportunity to question the candidate early in the examination, e.g., by rounds of questioning.

**12.2.3 Length of Examination**

Ordinarily, the oral examination should not exceed two hours. If the examination is properly conducted, within this time period examiners should have as good an assessment of the student as they will ever have.
12.2.4 Editorial Comments on Thesis
Examiner's editorial comments on the thesis should not be discussed at the oral examination. It is recommended that each examiner hand the student a list of any such comments for post-examination final thesis revisions.

12.3 Suggested Examination Procedures

12.3.1 Opening Summary
It is common practice to ask the student to present a brief (up to fifteen minutes) opening summary of the thesis. Although this is not mandatory, students may appreciate the opportunity to introduce their research work and summarize its significance.

12.3.2 Background Questioning
General background questioning, not relevant to the subject matter of the thesis, should be avoided during the early stages of the examination.

12.3.3 Questions to the Candidate
Questions to the candidate should be clearly and succinctly phrased in order to minimize doubt in the candidate's mind as to what is being asked. The student should be given reasonable time to answer. If the student has understood the question but cannot answer, the examiner should pass to another question and not attempt to extract an answer by prolonged interrogation. The chair should guard against any tendency of examiners to interact with each other instead of concentrating on the examination of the candidate.

13.0 Post Thesis Oral Examination Procedures

13.1 Provisional Recommendations
At the end of the thesis oral examination, everyone except the chair, the members of the examination committee, the Department/Program Head or designate and the Dean and/or Dean's representative, is required to withdraw from the room. Before any discussion of the candidate's performance, each examiner must identify, by secret ballot, which recommendation he/she favours (see section 13.4 below). This procedure provides the committee with a frame of opinion upon which a full discussion of the student's performance may then be based.

13.2 Official Examiners' Discussion
Following a count of the straw vote the examiners then conduct a post-examination discussion, in which the Department/Program Head and the Dean or their representatives may participate, although they have no vote. At the conclusion of the discussion, each examiner must write his/her final recommendation on the official Report of Doctoral Thesis Examination form. If all the examiners make the same recommendation, the chair must report the recommendation in the appropriate column. If the examiners do not make the same recommendation, there must be no further discussion and the chair must inform the Dean of "lack of unanimity" (or a "hung jury") immediately.

13.3 Recommendation of Examination Committee
Thesis oral examinations are designed to establish a level of achievement consistent with the standards of the Faculty of Graduate Studies as outlined in section 4, "Thesis Quality Requirements." The following section (13.4) defines the official Faculty recommendations to the Dean respecting outcomes of thesis oral examinations. In each case, the committee recommendation must be reported to the Dean on the official Report of Doctoral Final Examination form within one working day of the completion of the examination. Immediately following the decision of the examination committee, the chair must inform the student of the outcome of the examination.
13.4 Recommendations

Thesis examinations must be judged to be either acceptable or unacceptable with respect to the thesis itself and with respect to the oral defence. Where the examination committee considers that both the thesis and the oral defence are acceptable, it will select recommendation 1 or 2. These recommendations should be understood as differentiating the examination results on the basis of the amount and/or substantive nature of the changes that the committee has decided are necessary in order to bring the thesis to a fully acceptable level.

Changes to a thesis in one of the acceptable categories may be more or less extensive, but must be limited to aspects of the presentation of the research (e.g., format, clarity, coherence, minor additional data analysis and/or interpretation) and must not include alterations or additions to the underlying research itself. If substantive additional research or data collection is deemed to be necessary, the examination committee is bound not to make recommendations 1 or 2 to the Dean.

13.4.1 Recommendation 1 (Pass; thesis acceptable, with or without minor revisions; oral defence acceptable)

The thesis conforms to the requirements for a doctoral thesis (see section 4) although some minor corrections and/or some limited revision of form or content may be required.

The oral defence is acceptable.

All members of the examination committee should sign the signature page except the supervisor, who will sign after reviewing and approving necessary corrections on behalf of the committee.

13.4.2 Recommendation 2 (Pass; thesis acceptable with re-submission to committee; oral defence acceptable)

The underlying research reported in the thesis is judged to be sound, but the thesis itself is deficient in that some re-casting, revision, addition of illustrative or explanatory matter, or limited additional data analysis is necessary in some portions to bring the thesis to a fully acceptable level.

The oral defence is acceptable.

Recommendation 2 is often used in a situation where different members of the committee take on specific responsibilities for ensuring that a particular part of the thesis is revised as required. In these circumstances, the normal practice is for those with such responsibilities not to sign the approval page until the revisions have been made, while other members not so involved may sign immediately after the examination.

13.4.3 Recommendation 3 (Fail: thesis acceptable; oral defence unacceptable)

The examination committee assigns the thesis to recommendation 1 or 2.

The oral defence is considered unacceptable. Within five working days, each examiner must provide the Dean with a written post-examination report detailing the reasons for their assessment. In addition, the chair must submit a written assessment of the conduct of the examination. The committee must recommend to the Dean either that the candidate be allowed a second, final attempt to present an acceptable oral defence of the thesis, or that the candidate be withdrawn from program. The reports, and the chair's assessment, must be copied to the Graduate Coordinator.

If the Dean of Graduate Studies accepts the recommendation of a second oral examination, the examination will be scheduled and heard by the original examination committee not later than six months from the date of the first examination. In reporting the results of the second examination, the committee will be limited to either recommendation 1 or 3. In making a second recommendation 3, the committee is also recommending that the candidate be required to withdraw from the Faculty of Graduate Studies. For a second recommendation 3, written post-
examination reports and an assessment of the examination from the chair are required, as above.
Any necessary revisions to the thesis (within the limits described under recommendations 1 and 2 above) must be completed by the candidate and approved by the committee before the second oral examination.

13.4.4 Recommendation 4 (Fail; thesis unacceptable)

Recommendation 4A (Recommend Re-take)
The committee finds that the thesis does not meet the minimum standards of a doctoral thesis in that it requires more revisions than are allowed under recommendation 2, but considers that with further research and/or extensive rewriting it may be brought up to a fully acceptable standard.
Within five working days, each examiner must provide the Dean with a written report detailing the reasons for his/her assessment. In addition, the chair must submit a written appraisal of the examination. The reports, and the chair’s assessment, must be copied to the Graduate Coordinator.
In view of the magnitude of the revisions required, a second oral examination must be held. If the Dean accepts this recommendation, a re-take of the examination may be scheduled no sooner than six months, and no later than twelve months, after the first examination. Under special circumstances, the Graduate Coordinator may recommend a new examining committee for approval by the Dean. Only one re-take will be allowed and, in reporting the results of that examination, the committee will be limited to either recommendation 1 or 4B.

Recommendation 4B (Fail; recommend withdrawal from the Faculty of Graduate Studies)
The committee finds that the thesis is not acceptable and that no reasonable amount of revision will bring it to a fully acceptable standard. In making this recommendation, the committee is also recommending that the candidate be required to withdraw from the Faculty of Graduate Studies.
Within five working days, each examiner must provide the Dean with a written report detailing the reasons for his/her assessment. In addition, the chair must submit a written appraisal of the examination. The reports, and the chair’s assessment, must be copied to the Graduate Coordinator.
As the thesis was found to be unacceptable, the outcome of the oral defence is not an issue.

13.5 Lack of Unanimity

Should the examiners fail to achieve unanimity, the chair must adjourn the meeting, record "lack of unanimity", or "hung jury" on the Report of Doctoral Thesis Examination form, and immediately bring the matter to the attention of the Dean. Within one working day, each examiner must provide the Dean with a written post-examination report detailing the reasons for the assessment of that examiner. In addition, the chair must submit a written assessment of the examination. The reports, and the chair’s assessment, must be copied to the Graduate Coordinator.

13.5.1 Dean's Action in Lack of Unanimity

When the chair of a thesis oral examination reports "lack of unanimity", the Dean may consult with the Graduate Coordinator, the supervisor, the examiners, including the examiner external to the University, before making a decision. At her/his discretion, the Dean may consult with the student as well. A decision should normally be made within seven business days of receiving all the required post-examination reports, and all persons involved informed in writing of the result of the decision.
13.6 Convocation Clearance
The names of the candidates who have successfully completed the final thesis oral examination will not be added to the convocation list until the Faculty of Graduate Studies receives two unbound copies of the thesis and a Departmental Clearance Form. Students will continue to be assessed continuing fees until cleared for convocation.

TRANSFERS

14.0 Transfers Within Program

14.1 Application for Change of Area of Specialization
A student may apply through the graduate program to the Dean for permission to transfer from one area of specialization to another while remaining within the degree program. Such application must be made prior to the candidacy examination.

15.1 Transfer from Doctoral to Master's Program
A transfer from a doctoral program to a Master's program, within closely related areas of specialization, may be recommended where, in the opinion of the Graduate Coordinator and the supervisor, such a transfer is in the best interest of the student. Such application should normally be made before the candidacy examination. Transfers may be approved if the student is unsuccessful in the candidacy oral examination on the first attempt. The Dean of Graduate Studies and the Graduate Coordinator of the Master’s program to which the student transfers must approve the transfer.

15.2 Course and Examination Requirements
Courses credited to the doctoral program may be accepted as fulfilling Master's course requirements where applicable, in accordance with program regulations for required Master's course work. Such a student must complete all requirements for the Master's degree.

15.3 Time Limits on Transfers
Transfers from a doctoral to a Master’s program must be completed no later than the beginning of the student’s fourth annual registration year. All transfer students must complete the Master’s degree program within their fourth registration year.