

PRINCIPLES AND PRACTICES OF THE Ph.D. FINAL ORAL EXAMINATION

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FORMS AND SAMPLE LETTERS

I. RESPONSIBILITIES OF THE GRADUATE UNIT

A. SCHEDULING OF EXAMINATIONS

Examinations may be held at any time during the year.

Graduate units should allow sufficient time for the process of arranging and scheduling a final oral examination. Since the graduate unit's recommendation has to be approved by SGS **before** the thesis is sent to the External Appraiser, and the appraisal must be available to the Candidate two weeks before the examination, it would be wise for a graduate unit to allow seven to eight weeks, and longer when Christmas or summer holidays intervene.

Graduate units should:

1. determine that the thesis is ready to go forward for final oral examination. Graduate units will administer their own procedures for deciding when a thesis is ready for examination. In the absence of any particular local procedure, the Candidate's supervising committee should advise the graduate unit when the thesis is ready. In rare cases, the Candidate may insist on an examination without the approval of the graduate unit; under such circumstances, the Candidate should contact the Associate Dean of the Division and the Associate Dean will make arrangements for the examination in consultation with the Graduate Coordinator of the relevant graduate unit.
2. strike an examination committee consisting of four to six voting members and submit the names of the members of the committee on an Examination Committee Nomination Form. See section B, below.
3. nominate someone external to the University to serve as the External Appraiser of the thesis. The Supervisor will propose three or more possible external appraisers, and the Chair (or Graduate Coordinator if this responsibility has been delegated) will select one, determining this individual's availability for the task. The graduate unit will record its recommendation on the Examination Committee Nomination Form to be sent to SGS. The graduate unit will certify that the proposed External Appraiser has an arm's-length relation with the Candidate and the Supervisor.
4. determine whether a patentable idea is being presented in the thesis. If such an idea is being presented, the Chair (or Graduate Coordinator) of the graduate unit should consult with the Associate Dean of the appropriate Division concerning examination procedures.
5. schedule the examination with the Ph.D. Examinations Office **at least six weeks** before the date that the examination is to be held. The graduate unit will inform the Ph.D. Examinations Office that the Candidate's thesis is ready to go forward for defense and will request an examination date and time, specifying where the exam is to be held. Oral exams may be held either at 63/65 St. George Street or elsewhere at the University, at the discretion of the graduate unit. The rooms at 63/65 St. George Street are available anytime between 9:00 a.m. and 4:30 p.m. Graduate units scheduling an exam some place other than 63/65 St. George must arrange for the Candidate to go to SGS immediately after the examination (or on the following day if the exam is held late in the day), to sign the forms mentioned in II.F, below.

6. send a Certificate of Completion confirming that the Candidate has completed all academic requirements for the degree, a thesis abstract of not more than 350 words, and an Examination Committee Nomination Form to the Ph.D. Examinations Office for approval.

B. STRIKING THE EXAMINATION COMMITTEE

At least six weeks before the oral examination, the graduate unit scheduling the exam will submit an Examination Committee Nomination Form to the Ph.D. Examinations Office listing the members of the Examination Committee (exclusive of the Chair of the Committee). Before submitting this form, the graduate unit must ascertain the willingness of those named to act on the Committee. "Willingness to act", in this context, implies an assurance that the nominee agrees both to become sufficiently acquainted with the content of the thesis to form a judgement as to its acceptability and to attend the examination.

The graduate unit must ensure that copies of the thesis are made available to members of the Examination Committee **at least four weeks** in advance of the examination date. (It must also ensure that the External Appraiser has a copy **at least six weeks** in advance of the exam, so that the appraisal may be returned at least two weeks before the examination.)

1. The Examination Committee shall consist of four to six voting members. The quorum is four voting members. The Committee must include:
 - (a) at least one member, but not more than three members, of the Candidate's supervising committee.
 - (b) at least one examiner who has **not** been closely involved in the supervision of the thesis. Those eligible include: the External Appraiser, members of the faculty appointed to the Candidate's graduate unit, and members of the faculty appointed to other graduate units of the University.
 - (c) a non-voting Chair appointed by SGS. The Ph.D. Examinations Office will inform the graduate unit when a Chair for the examination has been appointed. Note that the graduate unit is not required to include the name of the Chair of the Examination Committee on the Examination Committee Nomination Form, which the graduate unit should submit to SGS as soon as possible.
2. The Examination Committee may also include up to two non-voting members.
3. Proposed exceptions to the above must be approved by the Associate Dean.

C. MANAGEMENT OF APPRAISER AND APPRAISALS

The graduate unit will send the thesis to an external appraiser, who has been appointed for this task by SGS on the recommendation of the graduate unit. Someone recommended as an external appraiser should be a recognized expert on the subject of the thesis and should be external to the University as well as to its affiliated teaching hospitals and their research institute. Such an individual must be an Associate or Full Professor at his/her home institution or, if he/she comes from outside the academic sector, must possess the qualifications to be appointed to an academic position at this level.

A graduate unit may also nominate the External Appraiser to serve as a member of the Examination Committee, either in person or by audio connection. If the External Appraiser is to serve as a member of the Examination Committee, he/she should be included as a member of the Examination Committee on the Examination Committee Nomination Form. (Note that while a thesis cannot go forward to the oral examination without an external appraisal, it is not a requirement of SGS that the External Appraiser serves as a member of the Examination Committee; it is entirely up to the graduate unit to decide whether to nominate the External Appraiser to serve as an examiner.)

1. The graduate unit will nominate someone to serve as the External Appraiser, using the following procedure: the Supervisor will propose three or more possible external appraisers to the Chair of the graduate unit (or the Graduate Coordinator if this responsibility has been delegated), who will select one of those individuals, determining this individual's availability for the task. The graduate unit will record its recommendation for the External Appraiser on the Examination Committee Nomination Form that is submitted to SGS.
2. The graduate unit will certify that the proposed External Appraiser is a recognized expert on the subject of the thesis, has the necessary academic qualifications to appraise a doctoral thesis, and has an arm's-length relation both with the Candidate and with the Supervisor. Normally, this will exclude anyone who, in the past six years, has been a departmental colleague of the Candidate or Supervisor, has stood in a student-teacher relation with either of them, or has collaborated on a research project with either of them.
3. When the External Appraiser has been approved by SGS, the graduate unit must send him/her a copy of the thesis. The graduate unit must ensure that the External Appraiser has a copy of the thesis **at least six weeks** in advance of the exam.
4. All arrangements with external appraisers, including travel and accommodation arrangements, are the responsibility of the graduate unit.
5. The graduate unit must ensure that honoraria payments are made to external appraisers, and that payment for travelling expenses are made to external appraisers who attend the examination once the expense reimbursement form and the supporting receipts are submitted.
6. The graduate unit must advise the External Appraiser
 - (a) that the appraisal should consist of a constructively critical, analytical comment; the importance of the work should be assessed in relation to its field; a synopsis of the thesis, if included at all, should be very brief;
 - (b) that it should contain an explicit recommendation that the thesis be accepted, or not be accepted, in partial fulfillment of the requirements for the degree of Doctor of Philosophy;
 - (c) that the written appraisal must be received **at least two weeks** (preferably, twelve working days) prior to the examination date. The appraisal should be sent to the graduate unit. The Appraiser may fax the appraisal to the graduate unit and submit the original subsequently, either bringing it to the examination, if he/she is attending, or sending it to the graduate unit by mail, if not.

7. The graduate unit is responsible for submitting a copy of the external appraisal to SGS as soon as it is received. The graduate unit is also responsible for distributing copies of the appraisal to the Candidate (at least two weeks before the examination) and to members of the Examination Committee.
8. The graduate unit should remind the Candidate and members of the Examination Committee that to avoid prejudicing the result of the examination, and to ensure that the defense of the thesis is the Candidate's own work, the Candidate may not discuss the appraisal with members of the Examination Committee until the examination is underway.
9. Graduate units are responsible for ensuring that appraisers submit their appraisals on time to avoid cancellation of the examination. If the appraisal is not available at least two weeks prior to the exam, the graduate unit must contact the External Appraiser to obtain the appraisal as quickly as possible and must contact both the Supervisor and the Candidate to determine whether the exam should proceed as scheduled under these circumstances. (Graduate units are responsible for this decision and will develop their own policies for making it; e.g., the Graduate Coordinator should discuss the situation with the Candidate and the Supervisor, and notify all relevant parties of the decision.) Late receipt of an appraisal might be grounds for a subsequent appeal of an adjourned examination; accordingly, if the Candidate does wish to proceed with the exam despite the delay in receiving the appraisal, he/she must sign a waiver; otherwise, the oral exam will be postponed.

D. THE CHAIR OF THE EXAMINATION COMMITTEE AND THE CHAIR'S EXAMINATION FILE

SGS will appoint a member of the graduate faculty (from another unit within the division) to serve as Chair of the Examination Committee, informing the graduate unit scheduling the examination accordingly.

1. The graduate unit scheduling the examination is responsible for contacting the Chair **one working day** prior to the examination to remind him/her of the time, date, and location of the exam. The graduate unit should contact the Ph.D. Examinations Office immediately if it learns that the faculty member who has been appointed as Chair is, for any reason, unavailable to chair the exam. (The Ph.D. Examinations Office will contact the graduate unit supplying the Chair to secure a replacement).
2. If the examination is to be held anywhere other than 63/65 St. George Street, the graduate unit must ensure that the Chair receives the Chair's Examination File **at least one week** prior to the examination. The file, which should be sent to the Chair either by fax or by courier, consists of the following items:
 - (a) a copy of the Program;
 - (b) a copy of the thesis abstract (for the Chair's information);
 - (c) a Chair's Summary Form;
 - (d) enough voting ballots for voting members of the examination;
 - (e) instructions for voting procedure;

- (f) a copy of the external appraisal.
- 3. The graduate unit should ensure that the Chair has received the Examination File when it contacts the Chair the day prior to the exam to remind him/her of the time, date, and location of the exam.

E. SUBMISSION OF THESES

It is the graduate unit's responsibility:

1. Before the examination

- (a) to advise the Candidate of the deadline date and procedures for submission of the thesis to the graduate unit;
- (b) to ensure that one additional copy of the thesis is brought to the final oral examination.

2. Following the examination

- (a) to ensure that, by the deadline established by the Examination Committee (e.g., one month, in the case of minor corrections), the Candidate submits one unbound copy of the final version of the thesis to the School of Graduate Studies, placed in a file folder, a box, or an envelope and clearly labelled on the top right hand corner with the name of Candidate (surname first), title of thesis, degree, graduate unit, and the university. This copy must meet the requirements outlined in the *Guidelines for the Preparation of Theses*, and be accompanied by the binding fee (II.G.) and the documents listed in II.F.2. below;
- (b) to obtain from the Candidate the required number of bound copies for the graduate unit.

F. EXAMINATION PROGRAM

At least two weeks before the date set for the examination, the graduate unit will send the Examination Program to SGS, to the Examination Committee (including the Chair), and to the Candidate. The Program should include the date, time, and location of the examination; the Candidate's name and the title of the thesis; and the names of all members of the Examination Committee (SGS sample appended).

SGS will arrange to have the Examination Program posted on the SGS web site at the URL:
http://www.sgs.utoronto.ca/phd_orals.asp.

II. RESPONSIBILITIES OF THE SCHOOL OF GRADUATE STUDIES

A. SCHEDULING OF EXAMINATIONS

When scheduling a final oral examination with the Ph.D. Examinations Office, the graduate unit must specify where the exam is to be held. Final oral exams may be held either at 63/65 St. George Street or elsewhere at the University, at the discretion of the graduate unit. The rooms at 63/65 St. George Street are available anytime between 9:00 a.m. and 4:30 p.m. The School will reserve an examination room at 63/65 St. George Street at the request of the graduate unit.

B. APPOINTMENT OF CHAIR OF EXAMINATION COMMITTEE

1. When a graduate unit has scheduled a final oral examination, the Ph.D. Examinations Office will contact another graduate unit in the same division, requesting in writing that it provide a Chair for the Examination Committee. The graduate unit that is to supply the Chair will be responsible for making arrangements with one of the members of its graduate faculty to chair the exam.
2. The Chair of an Examination Committee must be a full member of the graduate faculty of this University who is external to the Candidate's graduate unit; he/she should not hold any appointment in the graduate faculty of that unit.
3. The graduate unit that is to supply the Chair will contact the Ph.D. Examinations Office by fax or e-mail, **within one week**, providing the name of the faculty member who is to serve as Chair for that exam, together with that faculty member's University address, telephone number, fax number, and e-mail address. The Ph.D. Examinations Office will send a letter of appointment and instruction to the designated Chair, sending a copy to the graduate unit scheduling the exam.
4. If the Ph.D. Examinations Office is informed that the faculty member who has been appointed as Chair has become unavailable to chair the exam, it will contact that faculty member's graduate unit to secure a replacement.
5. If the faculty member who has been appointed as Chair does not arrive at the exam **at least fifteen minutes** before the exam is scheduled to begin, the Ph.D. Examinations Office will contact the faculty member's graduate unit to request an immediate substitute.

C. APPRAISERS AND EXAMINATION COMMITTEE MEMBERS

1. The Associate Dean will review the Examination Committee Nomination Form when it has been received by SGS, approving the graduate unit's recommendations or, after consulting with the graduate unit, amending them, as he/she sees appropriate.
2. If the Associate Dean finds the graduate unit's recommendation for the external appraisal unsatisfactory, he/she will contact the graduate unit to secure another recommendation.
3. The Associate Dean may alter the membership of the Examination Committee proposed by the graduate unit, adding or removing members as deemed appropriate.

4. The Associate Dean has the authority to modify the composition of the Examination Committee to fit exceptional circumstances.

D. APPRAISALS AND CERTIFICATE OF COMPLETION

1. The School will verify the Certificate of Completion upon receipt.
2. The School will post information regarding the examination on the SGS Web site.
3. The School will inform the graduate unit if the School does not receive a copy of the appraisal from the graduate unit at least two weeks before the date of the examination.

E. CHAIR'S EXAMINATION FILE

The School will ensure that the Chair of the examination receives the Examination File prior to the examination if it is being held at 63/65 St. George. (If the examination is to be held anywhere other than 63/65 St. George, the graduate unit shall be responsible for sending the contents of the Examination File to the Chair either by fax or by courier - see I.D, above.) The Examination File consists of the following items:

1. a copy of the Program;
2. the original copy of the thesis abstract (for the Chair's information);
3. a Chair's Summary Form;
4. enough voting ballots for voting members of the examination;
5. instructions for voting procedure;
6. the original copy of the external appraisal.

F. IMMEDIATELY FOLLOWING THE PH.D. FINAL ORAL EXAMINATION

1. ***The Chair of the Examination Committee will return the Examination File to the Ph.D. Examinations Office at SGS. The Candidate will go to SGS to deal with formal requirements as follows.*** If SGS is closed when the examination is finished, these formalities will be carried out on the next working day.
2. ***The School will ensure that the Candidate:***
 - (a) receives and completes a copy of the "Post Examination and Graduation Information Form";
 - (b) receives a copy of the *Guidelines for the Preparation of Theses for Microfilming and Binding*;
 - (c) receives and completes copies of "The University of Toronto Library Manuscript Thesis - Doctoral Authority to Distribute Form" for the bound and unbound copies of his/her thesis;

(d) receives and completes the "National Library of Canada's Non-Exclusive License to Reproduce Theses Form".

3. The School will also ensure that:

(a) the Ph.D. Examinations Office sends a copy of the "Chair's Summary Form" to the Graduate Coordinator in the Candidate's graduate unit;

(b) should the thesis require minor modifications, a memo concerning minor modifications is forwarded to the Convenor of the Subcommittee (III.H.). The memo will list the Subcommittee members, the duties of the Convenor and the deadline for completion of the modifications.

G. GRADUATION

1. The School makes the necessary final preparations for successful Candidates who have completed all their requirements to graduate.
2. Candidates will not be allowed to graduate until they have completed the following requirements. Both the Candidate and the graduate unit will be informed of any requirements outstanding:
 - (a) letter received from the Supervisor informing the School that all minor corrections have been completed satisfactorily by the Candidate;
 - (b) letter received from the Convenor of the Subcommittee supervising minor modifications, stating that the Candidate has completed all necessary modifications to the Subcommittee's satisfaction;
 - (c) one unbound copy of the thesis, submitted by the Candidate to the School of Graduate Studies, that meets the technical requirements outlined in the guidelines, together with the documents listed in II.F., and the binding fee.
3. The School will arrange to have a "hold" placed on the transcripts of any Candidate who has any outstanding financial obligations or other requirements yet to fulfill such as outstanding tuition fees; Library, Health Service, or Bookstore fees.

H. DISTRIBUTION OF THESES

The School will send an unbound copy to University Microfilms Inc. (UMI), the National Library's microfilming agent. A microfiche copy will then be sent to the University Library. UMI will include the thesis and the abstract in the listings of Dissertation Abstracts database.

Abstracts and dissertations may be searched and accessed through UMI'S ProQuest Digital Dissertations at URL: <http://wwwlib.umi.com/dissertations/>

The Robarts Library will arrange for the unbound theses to be returned and bound. Students will be required to pay a binding fee to the Library through the SGS Student Services Office.

Students are responsible for the delivery of a bound copy of the thesis to the graduate unit.

III. RESPONSIBILITIES OF THE EXAMINATION COMMITTEE AND THE CHAIR OF THE COMMITTEE

A. RESPONSIBILITIES OF THE EXAMINATION COMMITTEE

The Examination Committee is responsible for the standard of the Ph.D. degree in this University and possesses the full authority of the School of Graduate Studies with respect to the examination. This authority of examination extends to both the thesis and its oral defense. Graduate unit examinations held immediately in advance of the final oral must not therefore interfere with attendance at, or thoroughness of, the final examination.

The Committee represents the Council of the School of Graduate Studies and through it the Governing Council of the University and must:

1. evaluate the appraisal of the thesis, which is to be considered only as an individual opinion to be employed as the Committee sees fit;
2. examine the Candidate on the content and implications of the thesis. Where someone other than the Candidate is a co-author of any portion of the thesis, the Examination Committee must be satisfied that the Candidate's personal contribution to the thesis is sufficient to fulfill the requirements of the Ph.D. degree. In addition, it must satisfy itself that the thesis document meets the proper standards of scholarship.

B. RESPONSIBILITIES OF THE CHAIR OF THE EXAMINATION COMMITTEE

The Chair of the Examination Committee is responsible for, and empowered to ensure, the proper conduct of the examination. The Chair is expected to exercise full control over the proceedings, and is entitled to suspend or stop the examination if necessary.

The Chair is the representative of the Dean of the School of Graduate Studies at the examination and his/her responsibilities are:

1. to guarantee that the Candidate is given reasonable opportunity to defend the thesis;
2. to ensure that it is the Candidate alone, and not the Supervisor or any other member of the Committee, who defends the thesis;
3. to protect the Candidate from harassment.

C. COMPOSITION OF THE COMMITTEE AND ATTENDANCE

1. ***The Committee consists of those members approved by the Associate Dean.***
Membership consists of four to six voting members including one to three members of the supervising committee and one to three examiners who have not been closely involved in the supervision of the thesis. Note that the External Appraiser may, and often does, serve as one of the examiners, but it is not a requirement of SGS that he/she do so; it is entirely up to the graduate unit to decide whether to nominate the External Appraiser to serve as an examiner as well.

2. **Non-voting members** may participate in the questioning of the Candidate and may remain during the voting but they have no vote.
3. **The examination may also be attended by:**
 - (a) any member of the graduate faculty of this University who, on the invitation of the Examination Chair, may participate in the questioning of the Candidate but have no vote.
 - (b) a qualified observer. Occasionally the graduate unit, with permission of the Candidate and the Supervisor, may request in writing to the Associate Dean that someone associated with the research, but not a member of the graduate faculty, attend the examination as an observer.

All non-committee members attending the examination must enter the room when the Candidate enters, and must leave the room once the Candidate has completed his/her defense and before discussion about the examination begins.

D. CONDUCTING THE EXAMINATION

1. **Before the Candidate enters, the Chair:**
 - (a) confirms that a quorum of four voting members is present. Should a quorum not be present, the Chair must decide either to delay the examination or to postpone it to another date.
 - (b) confirms that each member of the Committee has sufficient knowledge of the thesis to form a judgement as to its acceptability and hence that there will be no abstentions in voting on grounds of ignorance of the thesis content.
 - (c) reminds the Committee that the examination covers both the thesis and the oral defense.
 - (d) confirms that each member of the Committee has received and read the external appraisal. If any member of the Committee has, for any reason, not seen the appraisal, the Chair should have the appraisal read aloud by one of the examiners. With the exception of a written report from any supervisor, no other written statements or letters of reference are permitted. Any of the examiners present may make an oral statement.
 - (e) consults with the Committee to determine the order of questioning and whether the Chair or the Supervisor will invite the Candidate to make the opening statement.
 - (f) discusses with the Committee the most appropriate means for ensuring that questions raised in the external appraisal are addressed by the Candidate.
2. **The Chair admits the Candidate and the non-committee members, if any. The Candidate is then invited to summarize the research and conclusions of the thesis orally, in no more than twenty minutes.**
3. **The Chair then invites each member of the Committee, in turns of approximately equal duration, to ask questions of the Candidate.**

E. VOTING PROCEDURE

1. **When there are no further questions, the Chair asks the Candidate and all non-committee members to retire. The Chair reminds the Committee that:**

(a) they should discuss the thesis and the voting options before the vote is taken.

(b) the examination covers both the thesis and its oral defense.

2. **A discussion of the examination follows and then the Chair distributes the ballots and explains the options in detail:**

(a) Members must vote yes or no on the question whether or not the thesis and its defense are acceptable. **More than one negative vote (or abstention) causes the thesis examination to be adjourned.**

Members of the Committee will have agreed to become sufficiently acquainted with the content of the thesis to form a judgement as to its acceptability; hence there should be no abstentions from voting on grounds of ignorance of the thesis content. A member of the Committee can indicate an abstention for other reasons by writing "abstention" on the ballot.

(b) Those committee members who find the thesis acceptable must **also** indicate whether the thesis is acceptable as is, or requires minor corrections or minor modifications. For procedure in case of a split vote, see the explanation on the voting ballot.

(i) **Minor corrections** involve typographical errors, errors in punctuation, or problems in style; they must be correctable within one month.

(ii) **Minor modifications** are more than changes in style and less than major changes in the thesis. A typical example of a minor modification is clarification of textual material or the qualification of research findings or conclusions. Minor modifications must be feasibly completed within three months.

3. **The Chair collects the signed ballots, reads aloud the names of the Committee members and their respective votes, and records the vote on the voting summary form.**

4. A member of the Examination Committee who is participating by an audio or video connection, will vote in the following manner.

(a) After the ballots of those present at the oral exam have been collected, but before they are read aloud, he/she will announce his/her vote.

(b) The Chair will then record that vote on a ballot, signing on behalf of that examiner.

F. NOTIFICATION TO CANDIDATE OF DECISION ON THE VOTE

1. If the thesis and its defense are accepted, the Chair of the Examination Committee informs

the Candidate.

2. If the thesis and/or defense are not accepted, the Chair of the Examination Committee and the Supervisor (if present) should jointly advise the Candidate.

Please note the sections below outlining procedures for dealing with minor corrections, minor modifications, and adjournment.

G. PROCEDURES FOR DEALING WITH MINOR CORRECTIONS

Must be completed within one month of the date of the examination. The Supervisor will inform the Candidate of the necessary corrections. The Supervisor must certify in writing to the Ph.D. Examinations Office that the corrections have been made.

H. PROCEDURES FOR DEALING WITH MINOR MODIFICATIONS

The Chair must appoint a supervising Subcommittee to be approved by the Examination Committee. The Candidate has three months from the date of the examination to complete the minor modifications.

1. Appointment of the Subcommittee

The Chair of the Examination Committee, before the Committee disperses, shall:

- (a) appoint a Subcommittee of the Examination Committee (to be approved by the Examination Committee) to supervise the proposed minor modifications;
- (b) indicate by means of asterisks the names of those appointed to the supervising Subcommittee and underline the Convenor's name on the voting report form.

2. The Subcommittee includes:

- (a) at least two members of the Examination Committee; under exceptional circumstances the Subcommittee may be limited to one member;
- (b) one member of the Subcommittee designated as Convenor with the approval of the Examination Committee.

3. The Convenor of the Examination Subcommittee shall:

- (a) report with a brief written statement the necessary minor modifications, preferably before the Examination Committee disperses but as soon after the examination as possible;
- (b) see that the Candidate, Supervisor, and Ph.D. Examinations Office receive a copy of the required minor modifications;
- (c) within three months of the date of the examination report in writing to the Ph.D. Examinations Office and to the Examination Chair the state of completion of the required minor modifications.

4. *The members of the Subcommittee will:*

Individually report to the Convenor on the acceptability of the required minor modifications. The report should be made in time for the Convenor to submit his/her written report on the state of the completion of the modifications to the Ph.D. Examinations Office.

5. *Dissatisfaction of Subcommittee members with minor modifications:*

Should one or more members of the Subcommittee not be satisfied that the minor modifications have been properly completed, the graduate unit must arrange a reconvened oral examination within a year from the date of the original examination.

I. *PROCEDURES IN THE EVENT OF AN ADJOURNMENT*

1. The Chair of the Examination Committee shall remind the Committee that a reconvened examination is to be held within one year;
2. The Chair of the Examination Committee shall explain that a written report must be prepared for the Candidate, setting out the reasons for adjournment and the Committee's requirements for a reconvened examination; the drafting of this report shall be the responsibility of a member of the supervising committee who is also a member of the Examination Committee; and the Committee must agree, before dispersing, on the procedures whereby the report will be drafted for approval by the Committee;
3. The Committee must provide the Candidate, within two weeks, with the written statement that indicates the reasons for the adjournment and the Committee's requirements for the reconvened oral examination.

J. *RECONVENED EXAMINATION*

1. No new members shall be added to the Examination Committee at the reconvened examination except for necessary replacements to ensure a quorum. It is the obligation of the original examiners to attend this examination. Any member of the original committee who did not attend the examination and who did not have good cause for absence should be stricken from the Committee.
2. A new Examination Committee Nomination Form is required only if the composition of the Examination Committee has been altered, and a new abstract is required only if there have been changes to it. A new Certificate of Completion is not required.
3. A new appraisal should be obtained from the External Appraiser if the thesis has been changed substantially. This requirement may be waived by the Associate Dean of the division at the request of both the Candidate and the graduate unit.
4. Normally, the Associate Dean of the division will chair the reconvened oral examination. If the dean is a member of the graduate faculty of the Candidate's graduate unit, the Associate Dean of another division will chair the exam.
5. A new exam program is required with new dates and participating members' names.

6. A new Examination File should be prepared, with contents as listed in item I.D.2., above.

The normal procedures for conduct of the examination and voting are to be followed. However, the thesis, may be accepted only (i) in its present form, or (ii) subject to minor corrections.

No further adjournment will be allowed if the Candidate is not successful at the reconvened exam, and the Candidate will be ineligible for further Ph.D. candidacy at the University. The Examination Committee must provide the Candidate, as soon as possible, with a written statement that explains clearly and directly why the examiners found the Candidate's performance unsatisfactory on the written or oral components of the examination, as may be relevant.

K. RETURN OF MATERIAL TO PH.D. EXAMINATIONS OFFICE

1. The Chair of the Examination Committee is responsible for seeing that the Candidate's file is returned to the Ph.D. Examinations Office, 63 St. George Street, with all original materials, immediately after the examination, or (in the case of an exam at the end of the day) on the next working day. The final paperwork for the Candidate cannot be completed until the file is returned.
2. The Chair should also remind the Candidate to report to the Ph.D. Examinations Office immediately after the examination, or (in the case of an exam at the end of the day) on the next working day.

Contact: Ph.D. Examinations Office
63 St. George Street, Room 304
Telephone: 978-5258
Fax: 971-2864

Candidate: _____ Student Number: _____

Current Address: _____

Thesis Title: _____

The Department/Centre/Institute of _____ attests that the above Candidate has completed all of its requirements and the School's major and minor requirement(s) for the degree of Doctor of Philosophy and requests that the School of Graduate Studies examine her/him on the completed thesis.

Please complete the following where appropriate:

Department Examinations:
Comprehensive, Qualifying, _____
Field, etc. _____

Language(s): _____

Major Field: _____

First Minor Field: _____

Second Minor Field: _____

NOTE: It is not necessary to name the Major and Minor Fields, but if they are to appear on the Candidate's transcript, names of fields of study must be used and not specific course titles (unless they themselves are the names of fields of study).

Add fields to Candidate's transcript: Yes No

Chair or Director of Graduate Studies

Date

For the School of Graduate Studies

Date

SCHOOL OF GRADUATE STUDIES

EXAMINATION COMMITTEE NOMINATION FORM

University of Toronto

Ph.D. Examinations Office

Candidate: _____ Student Number: _____

Department: _____ Supervisor(s): _____

Thesis Title: _____

Date of Time of Exam: _____ Location: _____

EXTERNAL APPRAISER:

Name: _____ Position: _____

Institution: _____

Area of Specialization (or attached CV or letter of explanation): _____

Note: If the External Appraiser is to serve as a member of the Examination Committee, please list his/her name on B) below

EXAMINATION COMMITTEE: The quorum for voting members is four; the maximum number allowed is six.

- Please use another sheet if more space is required for addresses.

A) One to three members of the supervising committee.

| | Name | Department | University and Email Address |
|----------------|-------|------------|------------------------------|
| 1) Supervisor: | _____ | _____ | _____ |
| 2) | _____ | _____ | _____ |
| 3) | _____ | _____ | _____ |

B) One to three examiners who have not been closely involved in the supervision of the thesis.

(This group may include the External Appraiser.)

| | | | |
|----|-------|-------|-------|
| 1) | _____ | _____ | _____ |
| 2) | _____ | _____ | _____ |
| 3) | _____ | _____ | _____ |

C) Non-voting member(s), if any.

| | | |
|-------|-------|-------|
| _____ | _____ | _____ |
|-------|-------|-------|

Departments must ascertain in advance the willingness of the persons named to judge the thesis and its defence and their readiness to attend the examination. The examiners will require sufficient knowledge of the content of the thesis to form a judgement about its acceptability. Normally all voting members from the University of Toronto must be members of the Graduate Faculty. This form must be submitted to SGS along with a certificate of completion.

By signing this form, the Chair/Director/Graduate Coordinator confirms (i) that all University of Toronto faculty serving on this committee have been appointed to the Graduate Faculty as a full member or either as an associate member or a member emeritus who has been granted voting privileges at a final oral examination; (ii) that the Candidate and the Supervisor have had an arm's-length relationship with the External Appraiser; and (iii) that the Candidate has been instructed not to communicate with the appraiser or the examiners on the topic of the thesis or its defence until the examination is underway.

Signed: _____
Chair/Director or Graduate Coordinator

Date

Associate Dean (SGS)

Date

*UNIVERSITY OF TORONTO
SCHOOL OF GRADUATE STUDIES*

*Program of the Final Oral Examination
for the Degree of Doctor of Philosophy*

of

[Name of Candidate]

[time, date]
[location]

[Title of Thesis]

Committee:

Exam Chair
Voting
members (4-6)

[Name]
[Names of
Voting Members]

Non-voting
members

[Names of
Non-voting
members]

SAMPLE LETTER TO CHAIR

[Date]

[Mailing Address]

Dear [Name of Chair]:

You have been appointed as Chair of the committee which will conduct the final oral examination of [Name of Candidate], a candidate for the degree of Doctor of Philosophy in the [Name of Graduate Unit]. The graduate unit will contact you directly about the scheduling of the examination.

The memorandum concerning Principles and Practices of the Ph.D. Final Oral Examination in the School of Graduate Studies is attached for your information. Please read it over before the examination.

The Dean gratefully acknowledges your assistance and wishes to stress the importance of your role in ensuring that the Candidate is given a rigorous and fair examination. Please note the section entitled "Responsibilities of the Chair" that appears on the first page of the enclosed instructions. As the Chair, you are the representative of the School of Graduate Studies at the examination, and you are strongly encouraged to communicate any concerns or comments you may have regarding the conduct of the exam in your final report.

You will be provided with the Examination File, including the abstract of the thesis, a copy of the external appraisal, a set of blank voting ballots, and the Chair's summary form. If the examination is to be held anywhere other than 63/65 St. George Street, the Examination File will be faxed to you by the department approximately five days before the examination date. If you have not received it within that period please contact the department. If the examination is to be held at 63/65 St George Street, the Examination File will be given to you immediately prior to the examination by the examination office.

Yours sincerely,

Ph.D. Examinations Office

Tel: (416) 978-5258

Fax: (416) 971-2864

Email: sgs.phdorals@utoronto.ca

cc: Chair of the Department

SAMPLE LETTER TO EXTERNAL APPRAISER

[Date]

[Mailing Address]

Dear [Name of Appraiser]

It is a pleasure to confirm your appointment by the School of Graduate Studies as the External Appraiser for the thesis of:

Name:

Thesis Title:

Date of Exam:

The Ph.D. oral examination is the culmination of a student's formal education, and the external appraisal is a crucial component of the examination. Your service as External Appraiser is very much appreciated.

Under new regulations, the Candidate and members of the Examination Committee are entitled to see the appraisal two weeks before the examination takes place. In the interval, the Candidate has time to prepare a considered response, although he or she is naturally prohibited from discussing the appraisal with the examiners until the examination is underway. **It is of the utmost importance, therefore, that your appraisal be received at the [Name of Department] at least two weeks before the examination date indicated above (preferably by [indicate date just over two week period]).** You may fax a copy to the Department at (416) [Fax number] and send a copy by regular mail to the Ph.D. Examinations Office, School of Graduate Studies, University of Toronto, 63 St. George St., Toronto, Ontario, Canada M5S 2Z9. ***It is essential that we receive your appraisal in a timely fashion; otherwise the examination will be cancelled.*** If it appears that this deadline will not be met, please contact the [Name of Department] directly at (416) [Department phone number].

The thesis will be sent to you directly by [Department or Candidate name]. If you do not receive it in sufficient time to review it thoroughly, please contact the Department.

Thesis appraisals usually consist of an analytical and constructively critical commentary on the thesis, together with an assessment of the importance of the work in relation to its field. A synopsis is not necessary, since all examiners will have read the thesis, but if one is included, it should be very brief. The appraisal should end with an explicit recommendation that the thesis either be accepted or not accepted in partial fulfilment of the requirements for the degree of Doctor of Philosophy. Appraisals are typically one and a half to two pages long, single-spaced; many appraisers attach a list of minor errors.

The University of Toronto pays an honorarium of \$100 CDN for an external appraisal of a Ph.D. thesis. We realize that this amount falls far short of being adequate remuneration for the work involved, but we trust that you will find the thesis itself interesting enough that you will consider the time well spent. The honorarium will be sent out upon receipt of the appraisal. For an appraiser who attends the final examination as a member of the Examination Committee, reimbursement for travel expenses will be provided.

Your co-operation with respect to these regulations and procedures is much appreciated. Please feel free to call at (416) **[Department phone number]** if you have any questions or require further assistance. We are very grateful for your time and effort in this important academic endeavour.

Yours truly,

Director of Graduate Studies

Encl. External Examiner Form for Ph.D. Oral Examination
Small Traders Certificate (Canadian/Regulation 105(1) International)

Additional enclosures for an appraiser attending the examination as a member of the Examination Committee:

Conduct of Examination
Suggested Accommodation
Expense Reimbursements Information
External Examiner Form for Ph.D. Oral Examination
Expense Report Form

ORAL EXAMINATION FOR THE DEGREE OF DOCTOR OF PHILOSOPHY
FIRST EXAMINATION

CANDIDATE: _____ DATE: _____

| | | |
|-------------------------------------------------------------|------------|-----------|
| I judge the thesis and its defence to be acceptable: | Yes | No |
| | [] | [] |

If your above vote is positive, please check one:

| | |
|-----------------------------------------------|-----|
| The thesis is acceptable in its present form. | [] |
| The thesis requires minor corrections. | [] |
| The thesis requires minor modifications. | [] |
| Examiner's Name: _____ | |
| Signature: _____ | |

Explanation:

- I On a first examination, if there is more than one negative vote (or abstention), the examination is adjourned. On a reconvened examination, more than one negative vote (or abstention) constitutes a failure.
- II Following a judgement that the thesis with its defence is acceptable, then:
- (a) If every examiner, or every examiner bar one, considers the thesis acceptable in its present form, then the thesis is approved in its present form.
 - (b) **otherwise**, if every examiner or every examiner bar one considers the thesis acceptable in its present form, or with minor corrections, then the thesis is approved with minor corrections.
 - (c) **otherwise**, the thesis is approved with minor modifications.

Minor corrections involve typographical errors, errors in punctuation or problems in style; they must be correctable within one month.

The Supervisor will inform the Candidate of the necessary corrections and must certify in writing to the Ph.D. Examinations Office that the corrections have been made.

Minor modifications are more than changes in style and less than major changes in the thesis. A typical example of a minor modification is clarification of textual material or the qualification of research findings or conclusions. Minor modifications must be feasibly completed within three months.

The Chair of the Examination Committee must appoint a supervising Subcommittee to be approved by the Examination Committee and a Convenor is thus designated.

The Convenor of the Subcommittee shall report with a brief written statement the necessary minor modifications preferably before the Examination Committee disperses, but as soon after the examination as possible and ensure that the Candidate, Supervisor, and Ph.D. Examinations Office receives a copy of the statement.

The Convenor of the Subcommittee shall also within three months of the date of the examination report in writing to the Ph.D. Examinations Office and the Examination Chair the state of completion of the required minor modifications.

Candidate: _____

Department/Centre/Institute: _____

Present: Chair _____

List Committee Members: **Vote on acceptability of Thesis and Defence**
(Check the appropriate columns)

| NAME | YES | NO | AS | MC | MM |
|------|-----|----|----|----|----|
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
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IF THERE IS MORE THAN ONE NEGATIVE VOTE AND/OR ABSTENTION, ADJOURNMENT IS MANDATORY ON THE FIRST EXAMINATION.

Recommendation

That the Degree of Doctor of Philosophy be conferred upon the Candidate and that the thesis be accepted:

(AS) as it stands

(MC) subject to minor corrections such as typographical errors, punctuation, etc.; deadline for completion is one month from the date of this examination. *(The Supervisor must inform the Candidate of the necessary corrections and must certify in writing to the Ph.D. Examinations Office that the corrections have been made.)*

(MM) subject to minor modifications in the thesis; deadline for completion is three months from the date of this examination. *(Indicate by means of asterisks the names of those appointed to the supervising Subcommittee and underline the name of the Convenor.)*

That the examination be adjourned; to be reconvened by **(date)** _____

Chair's Report

The examination was conducted in accordance with standard SGS procedures.

or

My report will be submitted within one week.

Signed: _____
Examination Committee Chair