GUIDELINES FOR THE DOCTORAL FINAL ORAL EXAMINATION

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I. RESPONSIBILITIES OF THE GRADUATE UNIT

A. SCHEDULING OF EXAMINATIONS

Examinations may be scheduled throughout the year.

Graduate units should allow sufficient time for the process of arranging and scheduling a final oral examination. Since the appointment of the External Appraiser must 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 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 Vice-Dean, Programs and the Vice-Dean will make arrangements for the examination in consultation with the Graduate Coordinator of the relevant graduate unit.

2. Nominate an External Appraiser of the thesis, as described in Section C below.

3. Strike an examination committee, as described in Section D below. The SGS will upload the exam information to the exam schedule on the SGS website based on the information posted in ROSI in the preceding month.

4. Ensure that the External Appraiser receives the thesis at least six weeks before the date of the examination, and that the other committee members receive it at least four weeks before the date of the examination.

5. 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 Vice-Dean, Programs concerning examination procedures.

6. At least six weeks before the date that the examination is to be held, inform the Doctoral Examinations Office that the thesis is ready to go forward for defense, specifying the examination date, time and location. Oral exams may be held at 63 St. George Street or elsewhere at the University, at the discretion of the graduate unit. Graduate units may request a room at the SGS but if no rooms are available they must find a suitable alternate location. The rooms at 63 St. George Street are available on weekdays between 9:00 a.m. and 4:30 p.m. It is imperative that the Doctoral Examination office be contacted via email. Entering the exam information in ROSI is not sufficient. Graduate units scheduling an exam some place other than 63 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.

7. Produce and distribute the examination program. 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). It should be sent to the Candidate, the members of the Examination Committee, the Chair of the Examination, and SGS, two weeks before the date of the examination.

8. Send the thesis abstract (not more than 350 words), the external examiner’s report and the program for the examination to the Doctoral Examinations Office, when these documents are ready.
B. POSTPONING AN EXAMINATION

At the University of Toronto, the outcome of the final oral examination is based on both the submitted dissertation and the student's performance in the oral examination. Once a final oral examination is scheduled, it takes place and is not postponed in the event of the receipt of a negative appraisal. The questions raised by an external appraiser that resulted in a negative appraisal may be overturned by the student's performance in the final oral examination.

The outcome of the final oral examination is either a vote to pass or to adjourn. In the case of adjournment, the examination committee reaches consensus on what is required for a successful outcome and states that to the student. Within the timeframe of one year, the thesis is revised, appraised by the same external appraiser and re-examined at a second final oral examination.

In the rare instances where a final oral examination is postponed, it is for a very limited amount of time and it is as a result of exceptional circumstances, more specifically, illness, challenges for travel and so on. A defense can only be postponed by the School of Graduate Studies and with the permission of the Office of the Vice Dean, Programs.

C. THE EXTERNAL APPRAISAL

1. Criteria for appointment of the external appraiser:
   a) The external appraiser must be external to the University as well as to its affiliated teaching hospitals and their research institutes.
   b) The external appraiser must be a recognized expert on the subject of the thesis, must be an Associate or Full Professor at his/her home institution, and should be experienced as a successful supervisor of doctoral candidates through to defense. An appraiser from outside the academic sector must possess the qualifications to be appointed to an academic position at this level.
   c) The external appraiser must be at arm's length from both the Candidate and the supervisor(s). Normally, this will exclude anyone who: has served as Masters or PhD Supervisor / Supervisee of the Candidate or the Supervisor; or has, in the past six years, been a departmental colleague of the Candidate or the Supervisor, or has collaborated on a research project, scholarly work or publication, with either of them. The Vice Dean (Programs), in considering nominations of external appraisers, will assess whether the nominee is at arm's length.

2. Appointing the External Appraiser
   a) 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 them, determining that individual's availability.
   b) An external appraiser should not be used more frequently than once every two years by a single supervisor.
   c) An external appraiser should not be used more frequently than once every two years for committees with substantive overlap of members with whom the external has served within the past two years i.e. three or more voting members.
   d) The graduate unit will request approval of its recommendation by completing the FOE Online Pre-approval Form at https://portal.sgs.utoronto.ca/admin. This preapproval of the external appraiser may be
obtained well in advance, even before a definite exam date has been decided. Once approval has been obtained, the graduate unit will record the information about the External Appraiser on ROSI. A full CV or equivalent must be provided. See Appendix for a sample email requesting full CV.

3. Obtaining the appraisal

When the External Appraiser has been approved by SGS, the graduate unit will 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. Best practice is to allow eight weeks. The appraiser should be advised as follows:

a) That it should contain an explicit recommendation that the thesis be accepted, or not be accepted, in partial fulfilment of the requirements for the degree of Doctor of Philosophy;

b) 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;

c) That the written appraisal must be received at least two weeks (ten working days) prior to the examination date. The appraisal should be sent to the graduate unit. The Appraiser may email or 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.

d) As soon as the appraisal is received by the graduate unit, it must be forwarded, along with the examination program, to the Candidate, the members of the examination committee, and SGS.

e) The Candidate has been instructed not to communicate with the External Appraiser/Examiner until the examination is underway

f) If the appraisal has not been received by the graduate unit 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.

4. Participation of the External Appraiser in the Examination

The External Appraiser may serve as a member of the Examination Committee, either in person or remotely. If so, he/she should be included as a member of the Examination Committee on the Examination Committee Nomination Form (ROSI). While a final oral examination cannot proceed without an external appraisal, the External Appraiser is not required to be a member of the Examination Committee.

5. Arrangements and Compensation for the External Appraiser

All arrangements with external appraisers, including travel and accommodation arrangements, are the responsibility of the graduate unit. 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.
D. STRIKING THE EXAMINATION COMMITTEE

With the exception of the External Appraiser, each member of the Final Oral Examination committee must hold a Graduate Faculty Membership at the University of Toronto.

At least six weeks before the oral examination, the graduate unit scheduling the exam will update all the information relevant to the Final Oral Exam on ROSI, and request approval of the Examination Committee on ROSI. This means listing the members of the Examination Committee (except for the Chair of the Committee) and entering the title of the thesis, if this has not already been done. From this information the Doctoral Examinations Office will create a Nomination Form and Certificate of Completion to be processed by the SGS. Before submitting this request, 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 judgment as to its acceptability and to attend the examination.

1. The Examination Committee shall consist of four to six voting members. Because quorum is four voting members, SGS recommends including at least 5 voting members to ensure the exam proceeds as scheduled. The Committee must include:

   a) At least one member, but not more than three members, of the Candidate’s supervising committee.

   b) At least two examiners who have 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 Doctoral 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 by requesting approval on ROSI.

2. The Examination Committee may also include up to two non-voting members. These members must also be listed on the nomination form and approved by the Vice-Dean, Programs.

Proposed exceptions to the above must be approved by the Vice-Dean, Programs.

E. THE CHAIR OF THE EXAMINATION COMMITTEE

1. Appointing the Chair of the Examination Committee

SGS will appoint a Full or Emeritus 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.

2. The Chair’s Examination File

If the examination is to be held at 63 St. George Street, SGS will provide the Chair’s examination file to the Chair before the examination begins.

If the examination is to be held anywhere other than 63 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 should be sent to the Chair either by fax or by courier, or by email if the Chair agrees to print out the documents him or herself. The file must include the following items (items (c), (d), and (e) are available under Forms and Sample Letters

   a) A copy of the Program;
b) A copy of the thesis abstract;

c) A Chair’s Summary Form;

d) Enough ballots for voting members of the examination;

e) Instructions for examination chair (voting procedures);

f) A copy of the external appraisal.

3. **Reminding the Chair of the Examination**

The graduate unit 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, and if applicable, to ensure that the Chair has received the Examination File. The graduate unit should contact the Doctoral 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 Doctoral Examinations Office will contact the graduate unit supplying the Chair to secure a replacement.

**F. 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 an electronic or hard copy of the thesis is available at 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 electronic (.PDF) copy of the final version of the thesis to the School of Graduate Studies via a personal T-space account, this copy must meet the formatting requirements described on the SGS website. Relevant hardcopy documentation and the thesis processing fee must also be submitted to the Doctoral Examinations Office.

**II. RESPONSIBILITIES OF THE SCHOOL OF GRADUATE STUDIES**

**A. SCHEDULING OF EXAMINATIONS**

The School of Graduate Studies (SGS) will reserve an examination room at 63 St. George Street at the request of the graduate unit whenever possible. The rooms at 63 St. George Street are available, by reservation, between 9:00 a.m. and 4:30 p.m.

The student must participate in person. SGS encourages all members of the Examination Committee to be present. SGS permits up to two members to participate via teleconference. Participation via any other mode must be approved by the Dean or designate.
B. APPOINTMENT OF CHAIR OF EXAMINATION COMMITTEE

1. When a graduate unit has scheduled a final oral examination, the Doctoral 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 hold a full or emeritus membership of the graduate faculty of this University who is external to the Candidate’s graduate unit; he/she must not hold any appointment in the graduate faculty of that unit.

3. The graduate unit that is to supply the Chair will contact the Doctoral Examinations Office by fax or email, 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, contact telephone numbers, fax number, and email address. The Doctoral 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 Doctoral Examinations Office is informed in advance 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. In the event that the graduate unit cannot secure a replacement Chair, a fine of $300.00 will be applied.

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 Doctoral Examinations Office must be contacted and will contact the faculty member’s graduate unit to request an immediate substitute. If the graduate unit cannot supply an immediate substitute, a fine of $300.00 will be applied.

C. APPRAISERS AND EXAMINATION COMMITTEE MEMBERS

1. The Vice Dean, Programs will review the graduate unit’s request for pre-approval of an external appraiser when it has been received by SGS, approving the recommendation or requesting clarification.

2. If the Vice Dean, Programs finds the graduate unit’s recommendation for the external appraisal unsatisfactory, he/she will contact the graduate unit to secure another recommendation.

3. The Vice Dean, Programs will review the Examination Committee Nomination Form (ROSI) when it has been received by SGS, approving the graduate unit’s recommendations or, after consulting with the graduate unit, amending them as appropriate.

4. The Vice Dean, Programs may alter the membership of the Examination Committee proposed by the graduate unit, adding or removing members as deemed appropriate.

5. The Vice Dean, Programs has the authority to modify the composition of the Examination Committee to fit exceptional circumstances.

D. CERTIFICATE OF COMPLETION

SGS will create and verify the Certificate of Completion generated from information in ROSI.
E. CHAIR’S EXAMINATION FILE

The items included in the Chair’s Examination file are listed in section I.D.2 above. SGS will ensure that the Chair of the examination receives the Examination File prior to the examination if it is being held at 63 St. George. If the examination is to be held anywhere other than 63 St. George, the graduate unit is responsible for sending the contents of the Examination File to the Chair.

F. IMMEDIATELY FOLLOWING THE DOCTORAL EXAMINATIONS

1. The Chair of the Examination Committee will return the Examination File to the Doctoral 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. SGS will ensure that the Candidate:
   a) Receives a copy of the "Post Exam Instruction Form" and “Examination Results and Graduation Information Form”;
   b) Is informed about the next steps to take to insure timely and successful preparation and submission of the final copy of the thesis, and is given information about graduation, fees and confirmation letters.

3. SGS will also ensure that:
   a) The Doctoral 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 written list of the necessary modifications is provided to SGS, to the student, and to the student’s department as soon as reasonably possible after the examination.

G. GRADUATION

1. SGS 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) Notification received from the Supervisor informing SGS that all minor corrections have been completed satisfactorily by the Candidate, if required;
   b) Notification received from the Convenor of the Subcommittee supervising minor modifications, stating that the Candidate has completed all necessary modifications to the Subcommittee’s satisfaction, if required;
   c) One copy of the thesis in PDF format, submitted by the Candidate to the School of Graduate Studies via a personal T-space account, that meets the technical requirements outlined in the guidelines, together with the necessary documents and the processing fee.
3. SGS will withhold the transcripts and parchments of any Candidate who has any outstanding financial obligations or other requirements yet to fulfil such as outstanding tuition fees; Library, Health Service, or Bookstore fees.

**H. DISTRIBUTION OF THESESES**

SGS will release the thesis to the world-wide web approximately two weeks after the student’s convocation. These will then be immediately searchable through T-space, and through internet search engines. The University Library uploads theses to its catalogue approximately twice per year. Theses will also be housed at Library and Archives Canada and ProQuest.

Abstracts and dissertations may be searched and accessed through UMIs ProQuest Digital Dissertations at URL: http://www.proquest.com/en-US/products/dissertations/finding.shtml

**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 Doctoral 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 therefore not 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 Doctoral 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**

The Committee consists of voting and non-voting members as approved by the Vice-Dean, Programs.

1. Normally, membership consists of four to six voting members including:
   a) One to three members of the supervising committee, and
   b) At least two examiners who have not been closely involved in the supervision of the thesis.

The External Appraiser often serves as an examiner as well.

2. **Non-voting members** may participate in the questioning of the Candidate and may remain during the committee’s deliberations, but 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.
   b) A qualified observer. Occasionally the graduate unit, with permission of the Candidate and the Supervisor, may request in writing to the Vice-Dean, Programs that someone associated with the research, who is not a member of the graduate faculty, may attend the examination as an observer.

All non-committee members attending the examination may 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, comprising at least two non-supervisory voting members. Should a quorum not be present, the Chair must decide either to delay the examination or to postpone it to another date. SGS allows up to two members to participate via teleconference.
   b) Confirms that each member of the Committee has sufficient knowledge of the thesis to form a judgment 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 and, if not, has 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.

g) Reminds the Committee that all electronic devices should be disabled, unless an individual exceptional circumstance necessitates their use. If the use of such a device is necessary, it should be set to receive incoming communications in the least obtrusive manner possible, and the committee member should leave the room in order to respond to such communication.

2. The Chair admits the Candidate and the non-committee members, if any. The Chair reminds all present that the recording of all elements of the proceedings is prohibited. 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 judgment 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.

   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. The decision of the vote is determined in the following manner:
a) On a first examination, if there is more than one negative vote and/or abstention, the examination is adjourned. On a reconvened examination, more than one negative vote and/or abstention constitutes a failure.

b) Following a judgment that the thesis with its defense is acceptable, then:

i. 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.

ii. 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.

iii. Otherwise, the thesis is approved with minor modifications.

4. A member of the Examination Committee who is participating remotely 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**

Minor corrections must be completed within one month of the date of the examination. The Supervisor will inform the Candidate in writing the necessary corrections and will work with the Candidate to ensure completion. The Supervisor must certify in writing to the Doctoral Examinations Office that the corrections have been made.

**H. PROCEDURES FOR DEALING WITH MINOR MODIFICATIONS**

The Chair must appoint a 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 Convener with the approval of the Examination Committee. The Convener may be the supervisor and should normally be a member of the Supervisory 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 Doctoral Examinations Office receive a copy of the required minor modifications;

   c) Works with the candidate and the other members of the subcommittee to ensure completion of the required minor modification;

   d) Within three months of the date of the examination report in writing to the Doctoral Examinations Office and to the Chair of the Graduate Unit 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 Convener to submit his/her written report on the state of the completion of the modifications to the Doctoral 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 and the Doctoral Exams Office, as soon as possible, with the written statement that indicates the reasons for the adjournment and the Committee's requirements for the reconvened oral examination.
4. The Candidate shall be advised in writing by the School of the approximate date of the reconvened examination, with a copy to the graduate unit in the Candidate’s file.

5. A copy of the original thesis shall be retained for the Committee’s reference in the Candidate’s graduate unit until the Candidate is recommended for the degree.

J. RECONVENED EXAMINATION

At the reconvened examination, no new members shall be added except for necessary replacements. 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.

The normal procedures for conduct of the examination and voting are to be followed.

However, no further adjournment will be allowed and, if unsuccessful, the Candidate will be ineligible for further Doctoral candidacy at this 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 DOCTORAL EXAMINATIONS OFFICE

1. The Chair of the Examination Committee is responsible for seeing that the Candidate's file is returned to the Doctoral Examinations Office, 63 St. George Street, with all original materials, immediately after the examination. In the case of an exam at the end of the day, the material can be submitted 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 Doctoral 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:
Doctoral Examinations Office
63 St. George Street, Room 304
Telephone: 416-978-5258
Fax: 416-971-2864
E-mail: doctoral@sgs.utoronto.ca
IV. APPENDICES

A. APPENDIX A

Letter of Invitation to a Potential Appraiser

[Date]

[Mailing Address]

Dear [Name of Appraiser]

The Graduate Department of XXX is pleased to nominate you for the position of external appraiser for our doctoral candidate, (name). If you are willing to be nominated, we will submit your name for approval by the School of Graduate Studies (SGS)

The SGS Guidelines for Final Oral Examinations describe an external appraiser as a scholar at the rank of Associate Professor or equivalent who:

(c) must be at arm’s length from both the candidate and the supervisor(s). Normally, this will exclude anyone who: has served as doctoral Supervisor / Supervisee of the Candidate or the Supervisor; or has, in the past six years, been a departmental colleague of the candidate or the supervisor, or has collaborated on a research project, scholarly work or publication, with either of them. The Vice-Dean (Programs), in considering nominations of external appraisers, will assess whether the nominee is at arm’s length.


We request that you forward to us your full CV or equivalent website link in order that we may proceed with your nomination.
B. APPENDIX B

Final Oral Exam (FOE) Online Pre-Approval for External Appraiser
C. APPENDIX C

Nomination Form for Final Oral Exam (FOE) Committee (ROSI)

2012-07-04 11:05 AM

****** School of Graduate Studies ******

- EXAMINATION COMMITTEE NOMINATION FORM -

Department: Department of Anthropology

Student Name:
Person Id :

Thesis Title

Supervisor : Prof.

Location: 63 St. George Street
Room: 301
Date: 2012-07-06
Time: 13:00

External Appraiser :
Institutional Affiliation:
Area of Specialization :

Will attend in person? : R

Examination Committee

Members from the Supervisory Committee

SUP~Prof.
REG~
REG~

Members not from the Supervisory Committee

REG~
REG~
D. APPENDIX D

Instructions to Chair of Final Oral Exam (FOE)

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 Doctoral 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 therefore not 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 Doctoral 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

The Committee consists of voting and non-voting members as approved by the Vice-Dean, Programs.

1. Normally, membership consists of four to six voting members including:

   a) one to three members of the supervising committee, and

   b) at least two examiners who have not been closely involved in the supervision of the thesis.

The External Appraiser often serves as an examiner as well.
2. **Non-voting members** may participate in the questioning of the Candidate and may remain during the committee’s deliberations, but 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.

   b) a qualified observer. Occasionally the graduate unit, with permission of the Candidate and the Supervisor, may request in writing to the Vice-Dean, Programs that someone associated with the research, who is not a member of the graduate faculty, may attend the examination as an observer.

All non-committee members attending the examination may 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, comprising at least two non-supervisory voting members. Should a quorum not be present, the Chair must decide either to delay the examination or to postpone it to another date. SGS allows up to two members to participate via teleconference.

   b) confirms that each member of the Committee has sufficient knowledge of the thesis to form a judgment 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 and, if not, has 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.

   g) reminds the Committee that all electronic devices should be disabled, unless an individual exceptional circumstance necessitates their use. If the use of such a device is necessary, it should be set to receive incoming communications in the least obtrusive manner possible, and the committee member should leave the room in order to respond to such communication.

2. **The Chair admits the Candidate and the non-committee members, if any. The Chair reminds all present that the recording of all elements of the proceedings is prohibited. 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 judgment 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.
      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. The decision of the vote is determined in the following manner:
   a) On a first examination, if there is more than one negative vote and/or abstention, the examination is adjourned. On a reconvened examination, more than one negative vote and/or abstention constitutes a failure.
   b) Following a judgment that the thesis with its defense is acceptable, then:
      i. If every examiner, or every examiner but one, considers the thesis acceptable in its present form, then the thesis is approved in its present form.
      ii. Otherwise, if every examiner, or every examiner but one, considers the thesis acceptable in its present form or with minor corrections, then the thesis is approved with minor corrections.
      iii. Otherwise, the thesis is approved with minor modifications.

4. A member of the Examination Committee who is participating remotely 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**

Minor corrections must be completed within one month of the date of the examination. The Supervisor will inform the Candidate in writing the necessary corrections and will work with the Candidate to ensure completion. The Supervisor must certify in writing to the Doctoral Examinations Office that the corrections have been made.

**H. PROCEDURES FOR DEALING WITH MINOR MODIFICATIONS**

The Chair must appoint a 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 Convener with the approval of the Examination Committee. The Convener may be the supervisor and should normally be a member of the Supervisory 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 Doctoral Examinations Office receive a copy of the required minor modifications;

c) works with the candidate and the other members of the subcommittee to ensure completion of the required minor modification.
d) within three months of the date of the examination report in writing to the Doctoral Examinations Office and to the Chair of the Graduate Unit 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 Convener to submit his/her written report on the state of the completion of the modifications to the Doctoral 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 and the Doctoral Exams Office, as soon as possible, with the written statement that indicates the reasons for the adjournment and the Committee's requirements for the reconvened oral examination.

4. The Candidate shall be advised in writing by the School of the approximate date of the reconvened examination, with a copy to the graduate unit in the Candidate’s file.

5. A copy of the original thesis shall be retained for the Committee’s reference in the Candidate’s graduate unit until the Candidate is recommended for the degree.

J. RECONVENED EXAMINATION

At the reconvened examination, no new members shall be added except for necessary replacements. 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.

The normal procedures for conduct of the examination and voting are to be followed.

However, no further adjournment will be allowed and, if unsuccessful, the Candidate will be ineligible for further Doctoral candidacy at this 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 DOCTORAL EXAMINATIONS OFFICE
1. The Chair of the Examination Committee is responsible for seeing that the Candidate's file is returned to the Doctoral Examinations Office, 63 St. George Street, with all original materials, immediately after the examination. In the case of an exam at the end of the day, the material can be submitted 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 Doctoral 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:
Doctoral Examinations Office
63 St. George Street, Room 304
Telephone: 416-978-5258
Fax: 416-971-2864
E-mail: doctoral@sgs.utoronto.ca
E. APPENDIX E

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 Doctoral 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.

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. The Candidate has been instructed not to communicate with the External Appraiser/Examiner 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 send your appraisal electronically to [E-mail address], or fax it to the Department at [Fax number]. Please also send us a signed copy by regular mail. 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 us immediately at [Department phone number] or [e-mail address].

The thesis is being sent to you by [courier / PDF attachment / mail]. If you do not receive it in sufficient time to review it thoroughly, please let me know immediately.

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. Please end with an explicit recommendation that the thesis either be accepted or not accepted in partial fulfilment of the requirements for the Doctoral degree. 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 Doctoral 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 requires further assistance. We are very grateful for your time and effort in this important academic endeavour.

Yours truly,
Coordinator of Graduate Studies

F. APPENDIX F1

Program of the Final Oral Exam

UNIVERSITY OF TORONTO
SCHOOL OF GRADUATE STUDIES

Program of the Final Oral Examination

for the Degree of XXX

of

[Name of Candidate]

[time, date]
[location]

>Title of Thesis
[Supervisor:]
[Co-supervisor]

Exam Chair:

I. Voting Members of Examination Committee (4 minimum, 6 maximum, and MUST include at least 2 Non-Supervisory Committee Members and no more than 2 remote participants)

i. Members of the Supervisory Committee (minimum 1, maximum 3)

Member: [Name]
Member: [Name]
Member: [Name]

ii. Non-Supervisory Committee Members (minimum 2, may include the External Examiner)

External Examiner: [Name]
Member: [Name]
Member: [Name]
APPENDIX F2 (with non-voting members)

UNIVERSITY OF TORONTO
SCHOOL OF GRADUATE STUDIES

Program of the Final Oral Examination

for the Degree of XXX

of

[Name of Candidate]

[time, date]
[location]

[Title of Thesis]
[Supervisor:]
[Co-supervisor]

Exam Chair:

I. Voting Members of Examination Committee (4 minimum, 6 maximum, and MUST include at least 2 Non-Supervisory Committee Members and no more than 2 remote participants)

   i. Members of the Supervisory Committee (minimum 1, maximum 3)

      Member: [Name]
      Member: [Name]
      Member: [Name]

   ii. Non-Supervisory Committee Members (minimum 2, may include the External Examiner)

      External Examiner: [Name]
      Member: [Name]
      Member: [Name]

II. Non-voting Members of Examination Committee (Must have SGS Graduate Faculty Membership)

      Member: [Name]
      Member: [Name]
APPENDIX F3 (with approved Qualified Observer)

UNIVERSITY OF TORONTO
SCHOOL OF GRADUATE STUDIES

Program of the Final Oral Examination

for the Degree of XXX

of

[Name of Candidate]

[time, date]
[location]

[Title of Thesis]
[Supervisor:]
[Co-supervisor]

Exam Chair:

I. Voting Members of Examination Committee (4 minimum, 6 maximum, and MUST include at least 2 Non-Supervisory Committee Members and no more than 2 remote participants)

   i. Members of the Supervisory Committee (minimum 1, maximum 3)

      Member: [Name]
      Member: [Name]
      Member: [Name]

   ii. Non-Supervisory Committee Members (minimum 2, may include the External Examiner)

      External Examiner: [Name]
      Member: [Name]
      Member: [Name]

II. Where Approved: Non-voting Qualified Observer

      Observer: [Name]
APPENDIX F4 (with approved Non-Voting Members and Qualified Observer)

UNIVERSITY OF TORONTO
SCHOOL OF GRADUATE STUDIES

Program of the Final Oral Examination

for the Degree of XXX

of

[Name of Candidate]

[time, date]
[location]

>Title of Thesis
[Supervisor:]
[Co-supervisor]

Exam Chair:

I. Voting Members of Examination Committee (4 minimum, 6 maximum, and MUST include at least 2 Non-Supervisory Committee Members and no more than 2 remote participants)

   i. Members of the Supervisory Committee (minimum 1, maximum 3)

      Member: [Name]
      Member: [Name]
      Member: [Name]

   ii. Non-Supervisory Committee Members (minimum 2, may include the External Examiner)

      External Examiner: [Name]
      Member: [Name]
      Member: [Name]

II. Non-voting Members of Examination Committee (Must have SGS Graduate Faculty Membership)

      Member: [Name]
      Member: [Name]

III. Where Approved: Non-voting Qualified Observer (if applicable)

      Observer: [Name]
G. APPENDIX G

Voting Ballot

School of Graduate Studies
University of Toronto

Voting Ballot
Doctoral Examinations Office

ORAL EXAMINATION FOR THE DEGREE OF DOCTOR OF PHILOSOPHY

CANDIDATE: ____________________________ DATE: ________________

I judge the thesis and its defence to be acceptable:

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>[   ]</td>
<td>[   ]</td>
</tr>
</tbody>
</table>

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:

1. 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.

2. 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.

SEE OVER FOR DEFINITIONS
**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 Doctoral 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 Doctoral 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 Doctoral Examinations Office and the Chair of the Graduate Unit the state of completion of the required minor modifications.
H. APPENDIX H1

Chair’s Summary Form

SCHOOL OF GRADUATE STUDIES

CHAIR’S SUMMARY FORM

University of Toronto

Candidate: ________________________________________________________________

Department/Centre/Institute: ________________________________________________

Chair: ___________________________ Examination Date: _______________________

List Committee Members: Vote on acceptability of Thesis and Defense

<table>
<thead>
<tr>
<th>NAME (list voting members only)</th>
<th>✓ If attended via teleconference</th>
<th>Thesis accepted</th>
<th>Result</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Yes</td>
<td>AS</td>
</tr>
<tr>
<td></td>
<td></td>
<td>No</td>
<td>MC</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>MM</td>
</tr>
</tbody>
</table>

IF THERE IS MORE THAN ONE NEGATIVE VOTE AND/OR ABSTENTION, ADJOURNMENT IS MANDATORY ON THE FIRST EXAMINATION.

Recommendation:

☐ The Doctoral Degree 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.

(MM) ☐ subject to minor modifications in the thesis; deadline for completion is three months from the date of this examination. (Exam Chair must 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
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 Doctoral 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. 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 Doctoral 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 Doctoral Examinations Office and the Graduate Unit Chair the state of completion of the required revisions.
APPENDIX H2

Chair’s Summary Form for Reconvened Exams

SCHOOL OF GRADUATE STUDIES

CHAIR’S SUMMARY FORM – RECONVENED EXAM

University of Toronto

Candidate: __________________________________________

Department/Centre/Institute: __________________________________________

Chair: __________________ Examination Date: __________________________

List Committee Members: Vote on acceptability of Thesis and Defense

<table>
<thead>
<tr>
<th>NAME (list voting members only)</th>
<th>☑ If attended via teleconference</th>
<th>Thesis accepted</th>
<th>Result</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Yes</td>
<td>No</td>
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</tr>
</tbody>
</table>

IF THERE IS MORE THAN ONE NEGATIVE VOTE AND/OR ABSTENTION, THE CANDIDATE IS INELIGIBLE FOR FURTHER CANDIDACY AT THIS UNIVERSITY.

Recommendation:

☐ The Doctoral Degree 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.

☐ (MM) subject to minor modifications in the thesis; deadline for completion is three months from the date of this examination. (Exam Chair must indicate by means of asterisks the names of those appointed to the supervising subcommittee and underline the name of the Convenor.)

☐ At the reconvened oral examination, it was agreed that the thesis not be accepted and that the candidate would not be eligible for further Doctoral candidacy at this university.

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
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 Doctoral 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. 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 Doctoral 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 Doctoral Examinations Office and the Graduate Unit Chair the state of completion of the required revisions.
I. APPENDIX I

Doctoral Dissertation: Non-disclosure Agreement

PREAMBLE

Students may be reporting information or ideas in their doctoral theses which they wish to remain confidential. The School of Graduate Studies in consultation with the Office of Research Services has developed a non-disclosure agreement that can establish a confidentiality contract between the student, the external examiner, and other committee members.

This agreement should be executed only when a real need for confidentiality can be demonstrated. Students must remember that the external examiner is providing an academic service for virtually no fee. Hence, examiners may be very reluctant to limit themselves by entering into such and agreement.

Before attempting to arrange a confidentiality agreement with an external examiner, students must discuss the need with their supervisor and the departmental graduate coordinator. Ultimately, when it is decided that an agreement is necessary, the student’s supervisor should negotiate the agreement with the external examiner.

Supervisors may obtain an up-to-date version of the non-disclosure agreement from the Ph.D. Examinations Office.

Contact

For Information:
Vice-Dean, Programs
65 St. George Street
416.978.2384

For Non-disclosure Agreement Form:
Ph.D. Examinations Office
63 St. George Street
416.978.5258
Non-disclosure Agreement

This agreement was made and entered into as of:

Day           Month           Year

by and between:

Name of examiner (hereinafter referred to as the “Receiving Party”)  Name of student (hereinafter referred to as the “Disclosing Party”).

WHEREAS the Receiving Party has graciously agreed to serve as an examiner at the oral examination of the Disclosing Party, and;
WHEREAS certain information and ideas are contained in the Disclosing Party’s thesis entitled:

which may or may not have been patented or constitute the basis of patentable inventions, but which the Disclosing Party considers to be proprietary and wishes to protect (hereinafter referred to as “Proprietary Information”).

NOW THEREFORE the Receiving Party agrees that for a period of two years:
1. He/she will keep in confidence and not use or disclose to third parties any part of the Proprietary Information including, but not exclusive to, data, ideas and interpretation of results;
2. He/she will keep in confidence the discussions which take place during and after the oral examination;
3. The restrictions in paragraphs 1 and 2 above shall not apply to Proprietary Information which is:
   a) in the public domain at the time of disclosure, or subsequently comes within the public domain without fault of the Receiving Party;
   b) known to the Receiving Party at the time of disclosure or independently developed by the Receiving Party, provided there is adequate documentation to confirm such prior knowledge or independent development;
   c) used or disclosed by the Receiving Party with the prior written approval of the Disclosing Party; or
   d) properly disclosed to the Receiving Party without restriction from a source other than the Disclosing Party.

Executed on:

Day     Month     Year

At:  

City  Province/State  Country

Signature of Receiving Party  Signature of Disclosing Party

The University of Toronto respects your privacy. Personal information that you provide to the University is collected pursuant to section 2(14) of the University of Toronto Act, 1971. It is collected for the purpose of administering admission, registration, academic programs, university-related student activities, activities of student societies, financial assistance and awards, graduation and university advancement, and for the purpose of statistical reporting to government agencies. At all times it will be protected in accordance with the Freedom of Information and Protection of Privacy Act. If you have questions, please refer to www.utoronto.ca/privacy or contact the University Freedom of Information and Protection of Privacy Coordinator at 416-946-7303, McMurrich Building, Room 201, 12 Queen’s Park Crescent West, Toronto, ON  M5S 1A8.