

**University of New Brunswick
SCHOOL OF GRADUATE STUDIES**

**PROCEDURES
FOR THE
SUBMISSION AND ASSESSMENT
OF
DOCTORAL DISSERTATIONS**



**A guide for Students, Supervisors, Directors of
Graduate Studies, Members of Examining Boards, Graduate Secretaries,
and
Staff of the School of Graduate Studies**

Revised 2014

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STEPS TO BE FOLLOWED IN SUBMITTING AND ASSESSING DOCTORAL DISSERTATIONS

Once a candidate has satisfied the residence requirements and any additional requirements of his/her Graduate Academic Unit relating to language examinations, qualifying examinations, area and comprehensive examinations, etc., and acceptable grades have been obtained in courses prescribed by the Graduate Academic Unit, the granting of the doctoral degree depends entirely upon the acceptance of the candidate's doctoral dissertation and oral defence of that dissertation.

Page Limits on PhD Dissertations - The length in the body of PhD dissertations should normally not exceed 400 pages of approximately 100,000 words.

Acceptance of the doctoral dissertation involves two main stages:

- (a) Acceptance by the Graduate Academic Unit; and
- (b) Acceptance by the School of Graduate Studies

ACCEPTANCE BY THE GRADUATE ACADEMIC UNIT (GAU):

The GAU decides whether a doctoral dissertation is acceptable for submission to the Examining Board and the External Examiner. Its submission to the Graduate School implicitly carries with it the stamp of approval of the GAU. Many GAUs require that the dissertation be read by appropriate members of the GAU and they then conduct an internal oral examination of the candidate. This procedure appears to have been efficacious and GAUs are encouraged to adopt a similar method.

Once approved by the GAU, copies of the dissertation are submitted to the School of Graduate Studies along with a memo from the Director of Graduate Studies recommending the Members on the Examining Board Committee and the "Completion of GAU Requirements for the PhD Degree" form.

ACCEPTANCE BY THE SCHOOL OF GRADUATE STUDIES:

Acceptance of a doctoral dissertation by the School of Graduate Studies is the final stage in the approval of a candidate for the PhD degree. This stage involves the following two steps:

- (a) Signed acknowledgments by the members of the Examining Board that the dissertation is capable of being defended at oral examination (see procedures outlined below in "Acceptance by the Examining Board"). The oral examination is based largely on the dissertation and is conducted by the Examining Board.
- (b) At the conclusion of the oral defence, the Examining Board will make its decision based on both the content of the dissertation and the candidate's ability to defend it.

ACCEPTANCE BY THE EXAMINING BOARD:

Appointed by the Dean of Graduate Studies in consultation with the GAU concerned, the Examining Board acts on behalf of the SGS, which consists of **the candidate's supervisor(s)** and **three other members from the School of Graduate Studies**, at least one of whom must be from the candidate's GAU and at least one of whom must be from a GAU other than the candidate's. In addition, **there will also be an external examiner from outside the University of New Brunswick.**

The Examining Board Committee appointed should be as follows:

- 1) External Examiner (outside of UNB)
- 2) Internal Examiner(s) - Supervisor(s)
- 3) Internal Examiner from the student's GAU
- 4) Internal Examiner from the student's GAU or from another GAU at UNB.
- 5) Internal Examiner from another GAU at UNB.

Appointment of the Examining Board is initiated by the Director of Graduate Studies of the GAU who, after appropriate consultation with the GAU, will contact the Members on the Examining Board (including the External Examiner) to see if these members are willing to serve on the Committee.

Please note: An informal approach to the External Examiner should be made by the DoGS of the candidate's GAU [not by the supervisor(s)]. Where the DoGS has some involvement with the dissertation, the Chair of the Department or Dean of Faculty or designate in the decanal structure should make the informal contact with the external examiner. **Every precaution should be taken to avoid a potential conflict of interest situation in the selection of an external examiner.** Please see the form on page 24 and submit the signed form to the School of Graduate Studies.

The Director of Graduate Studies forwards nominations for membership on the Examining Board to the Dean. An example of the memorandum from the Director of Graduate Studies to the Dean can be found on page 10.

SUBMISSION OF DISSERTATION TO SGS FOR FINAL EXAMINATION:

The Graduate Academic Unit is required to:

- 1) **Submit a minimum of four copies of the dissertation (not coiled, double-sided, or placed in a binder) to the School of Graduate Studies (3 for Examiners at UNB & 1 for the External Examiner).** Normally the Supervisor will have received a copy directly from the candidate. To expedite things, **the GAU can submit the copies directly to the Internal Examiners in their GAU & a copy for the Internal Examiner from another GAU at UNB, with the exception of the External Examiner's copy, which SGS will send. The GAU can also submit an e- copy to SGS for distribution,** if the examiners are in agreement to review the dissertation electronically.

- 2) **Submit a memo from the Director of Graduate Studies to the Dean of Graduate Studies** informing the name of the External Examiner & the Name of UNB Examining Board Committee with their e-mail addresses (see page 11)
- 3) **Indicate on the memo the full name of the External Examiner (no abbreviations), street address, building name & room number, telephone number as well as e-mail address.** Also, since we are sending by courier and the shipping request is done on their website, please indicate your Dept./Faculty account number to be invoiced (see page 11). Also **indicate if External Examiner is being invited to the oral examination and if the GAU or Supervisor is willing to cover the traveling expenses.** If the GAU or Supervisor is not able to cover the expenses, we can recommend to the External to connect by tele-conference or video-conference to the oral examination should he/she wish to participate in that way.
- 4) **Submit a “Completion of GAU requirements for PhD Degree” (green form)** signed by the Director (see page 9)
- 5) **Submit a “Conflict of Interest” form** signed by the supervisor(s) (see page 24)

The Dean of Graduate Studies will appoint a Chairperson of the Examining Board who is not a member of the candidate's GAU. **If there is only one internal member outside of the candidate's GAU and he/she declines to Chair the Examining Board, SGS will appoint a Chairperson (Assoc/Assistant/Dean) from the Graduate School.** Examples of the letters/memos or e-mail sent by the Dean to the person appointed as chairperson of the Examining Board, to the candidate's supervisor(s), and to the other members of the Examining Board, are shown on pages 11, 12, 13 respectively.

With respect to the external examiner, it is expected that the person proposed (as well as suggested alternates) will have particular expertise in the area of the candidate's research. S/he should have been informally contacted by the Director of Graduate Studies (or by the Chair/Dean of the Department/ Faculty if the DoGS is involved in some aspect of the dissertation) and should have expressed a willingness to be invited to act as an external examiner.

Every precaution should be taken to avoid a conflict of interest situation in the selection of an external examiner (potential areas of conflict of interest are listed on a form on page 24). Supervisors are asked to sign the form on page 24 indicating that they have no conflict of interest with the external reviewer and they will have no contact with the External Examiner. This form should be submitted to the SGS by the DoGS at the time that the GAU forwards nominations for Examining Board membership to the Dean. **The Supervisors should also avoid discussing the dissertation & assessment of the PhD candidate with the Members on the Examining Board until the examination is complete. Also, PhD candidates are not to have any contact with the External Examiner or the Examining Board Committee Members during the final examination process, with the exception of their Supervisor(s).**

The School of Graduate Studies is not normally able to fund the travel and accommodation costs that would enable the external examiner to attend the oral defence. If a GAU is willing to cover the external examiner's expenses, the Director of Graduate Studies may request that the Dean extend an invitation to her/him to attend the oral examination. It should be noted that if the external examiner is to attend the oral examination, the SGS must be kept informed

so that the proper invitations may be extended. *ALL SUCH COMMUNICATIONS TO EXTERNAL EXAMINERS MUST BE MADE THROUGH THE SGS.* Examples of standard and invitational letters sent by the SGS to external examiners are shown on page 15.

As soon as the GAU approves the forwarding of the dissertation to the School of Graduate Studies, and once the membership of the Examining Board has been confirmed, copies of the dissertation will be distributed by the School of Graduate Studies to the external examiner and to the members of the Examining Board along with assessment forms and the final examination process will begin.

Role of the Members on the Examining Board Committee & the School of Graduate Studies:

- **The external examiner is requested to submit the “External Examiner’s Assessment of PhD Dissertation” report within one month of receipt of the dissertation** to the Administrative Coordinator of the SGS (see page 16).
- **If the External Examiner does not submit the report the 4th week**, the Admin. Coordinator will follow-up with the External Examiner and will advise the Members on the Examining Board accordingly.
- **Upon receipt of the External Examiner’s report**, the Admin. Coordinator will send an e-mail to the members on the Examining Board along with a copy of the external examiner’s report.
- **Each member of the Internal Examining Board** will submit to the Admin. Coordinator a signed copy of the form “Internal Examiner’s Assessment of PhD Dissertation” with their recommendations (see page 17) with the recommendations for revisions.
- **If each member of the Examining Board (as well as the External Examiner) has checked one of the first two decision boxes that (i) The dissertation is accepted without modification or (ii) The dissertation is acceptable provided that minor modifications**, then the Admin. Coordinator will proceed with coordinating the oral defence.
- **If, however, the External Examiner or one or more members of the Examining Board check off one of the last two decision boxes (iii) The dissertation requires major revision and is returned to the student for revision and re-submission to the supervisory committee of the graduate academic unit within one year, or (iv) The dissertation is not acceptable and I recommend that the degree not be awarded**, then the Admin. Coordinator will ask the Chair of the Examining Board to convene a meeting of the Examining Board to discuss the concerns raised and to decide the next course of action (for example, the extent of revision expected & timeline for completion). If it is thought necessary to solicit the external examiner's evaluation of the dissertation by telephone, this should be done only through the Dean or Associate Dean of SGS.
- **If the Examining Board is required to meet, it's important that the PhD candidate is not advised of the outcome prior to the meeting.** Once the Examining Board Committee meets & makes a decision as a majority, the Supervisor(s) will be instructed to advise the student accordingly.
- **If any member of the Examining Board dissents from the majority decision, s/he is requested to specify the reasons for the dissent in writing.** In the case where one

or more members of the Examining Board resign because of a disagreement with the other members of the Examining Board, the School of Graduate Studies will arrange for new members to join the Examining Board. Note: If the Examining Board returns the dissertation to the student for revisions, the student will have a maximum of one year to make those revisions and return the dissertation to the Examining Board. All revisions must be made under the direction of the Supervisor(s).

- **Upon receipt of the Internal Examiner's reports, the Admin. Coordinator will send a copy to the Chair & Supervisor. If only minor revisions are recommended,** the Supervisor can inform the candidate of the corrections and revisions thus far expected in the dissertation & prior to the defence.
- **All Members on the Examining must indicate they are satisfied with minor revisions** & reports must be received before the oral examination can be scheduled.
- **Only the Chair of the Examining Board will receive the External Examiner's questions** which are to be posed to the candidate by the Chair at the oral defence, if the External is not attending.
- **The Admin. Coordinator is responsible to organize the oral defence** in consultation with the Members on the Examining Board, the Dean of Graduate Studies who chairs the proceedings and the candidate.

ORAL DEFENCE OF THE DISSERTATION:

- After consulting all parties (including the external examiner if attending) about the time and place of the oral examination, the **Administrative Coordinator will confirm the defence with the Examining Board Committee, the PhD candidate as well as the Graduate Secretary & Director of Graduate Studies in the GAU.**
- **An announcement of the oral will be submitted** to eDaily@UNBF &/or eNews@UNBSJ for campus-wide posting, as well as paper notices of the oral examination for distribution to the Examining Board and the GAU.
- **The responsibility for these steps rests with the SGS, but close cooperation will be maintained with the GAU and members of the Examining Board.** It should be recognized that these arrangements must be made in such a way that reasonable notice of the examination is given to all concerned, therefore, SGS requires a minimum of 5-7 days notification for the announcement to be distributed to all faculty, staff and students.
- **Candidates should be advised against making arrangements to leave the University until at least three working days after the oral examination has been completed.** Candidates must allow sufficient time on campus after the oral examination to make minor revisions, complete paperwork, photocopy the dissertation, and submit it to the School of Graduate Studies. In the event that major revisions to the dissertation are required, it would be well for the candidate to remain on campus for several days after the oral defence of the dissertation in order to consult with his/her supervisory committee about the revision process.
- **The proceedings of oral examination of the dissertation will be chaired by the Dean, Associate Dean, or Assistant Dean of the SGS, or a nominee of the Dean.**

The examination will be open to all members of the University faculty, graduate and undergraduate students, and other interested and appropriate persons.

- **The purpose of the oral examination is to examine both the content of the dissertation and the candidate's ability to defend it.** A sample of the e-mail sent to the student before the examination is on page 17.
- **The function of the Chairperson of the oral examination proceedings is to** introduce the candidate in an appropriate manner and then, following the thirty minute presentation by the candidate (curtailment by the Chair of the oral defence at forty minutes), to preside over the question period. During the question period, there will be two rounds of questions. Each member of the Examining Board will be allowed a maximum of 15 minutes in the first round and a maximum of 5 minutes in the second round. If there is sufficient time at the end of the Examining Board question period, questions may be directed to the candidate by members of the audience. The Chairperson of the oral defence should take appropriate steps to curb any unduly aggressive or unacceptable questioning and should terminate the question period after a reasonable length of time. In general, it is unlikely that much is to be gained by permitting the examination to continue beyond two and a half hours, including the candidate's presentation.
- **At the conclusion of the oral examination, the Chairperson of the Examining Board will request the candidate, and any members of the audience who are not members of the Graduate Faculty or members of the Examining Board, to withdraw.**
- **The Chairperson of the Examining Board Committee will immediately convene the members to meet and consider both the dissertation and the candidate's performance in presenting and defending the dissertation.** The Chairperson may accept comments from Graduate Faculty members who are not members of the Examining Board, but only members of the Examining Board may vote on the acceptability of the dissertation and the oral examination. Co-supervisors have one vote.
- **The Chairperson of the Examining Board will report the Examining Board's assessment of the dissertation to the SGS, using the "Assessment of Ph.D. Dissertation & Oral Examination" form** (see page 18 of the document Procedures for the Submission and Assessment of Doctoral Dissertations for a copy of the form). Four options for the assessment of the dissertation are outlined on the "Assessment of PhD Dissertation & Oral Examination" form:
 - (1) The dissertation is accepted without modification.
 - (2) The dissertation is acceptable provided that required minor modifications are made to the satisfaction of the Examining Board.
 - (3) The dissertation requires major revision and is returned to the student for revision and final submission to the Examining Board within a one year limit.

- (4) The dissertation is not acceptable and the Examining Board recommends that the degree not be awarded.

The Examining Board will also make an assessment of the ability of the candidate to defend the dissertation by filling in the appropriate Oral Defence section on the “Assessment of PhD Dissertation & Oral Defence” form (see page 18). The Examining Board will indicate one of three options:

- (1) The oral defence is acceptable.
 - (2) The oral defence is not wholly acceptable and the Examining Board therefore requests that a further oral presentation and defence be held before a final decision is made.
 - (3) The oral defence is not acceptable and the Examining Board recommends that the degree not be awarded.
- Following the consultation of the Examining Board (which normally may take 30 minutes), the candidate will be invited to return to the examination room to meet with the Examining Board.

At the conclusion of the meeting with the candidate, the Chairperson of the Examining Board should ensure that all copies of the dissertation which are in the possession of the members of the Examining Board are returned to the School of Graduate Studies through the Chair of the Oral Defence provided that there are no revisions, corrections, or modifications to be made. If there are modifications to the dissertation to be made by the candidate at the direction of the Examining Board, all copies should be returned to the candidate together with precise instructions concerning the nature of the required modifications (It is also possible that some modifications might have been made between SGS’s notification of the oral and the oral examination).

Unless other arrangements are made between the supervisor(s) and other members of the Examining Board, the candidate will be directed by the supervisor (s) in making the corrections and changes recommended by the Examining Board. When the corrections and changes have been completed to the satisfaction of the supervisor(s), the supervisor(s) will sign the appropriate sheet indicating that changes have been made. It should be decided before the Examining Board concludes its meeting whether both co-supervisors will sign off on the dissertation or whether one will be designated with that responsibility (note: in some instances, co-supervisors are adjuncts in other universities, or are faculty on sabbatical in other countries, or are faculty present at the oral defence through video or audio-conferencing. This may make co-signing difficult).

The supervisor(s) should ensure that, after corrections have been made, the candidate signs the "Authorization for Deposit of Dissertation" form (see sample copy on page 19) and the National Library’s "Non-Exclusive License to Reproduce Theses" form (page 20), and encloses these with the final, “to –be-bound” copies of the dissertation when it is submitted to the School of Graduate Studies. The student should also submit the Dissertation Binding Forms (see sample copies on pages 21 & 22) and the blue “card to graduate” to the School of Graduate Studies when submitting the final copies of the dissertation to the SGS.

The sheet signed by the supervisor(s) indicating that the Examining Board's required changes have been made will be submitted to the School of Graduate Studies with the dissertation when the student submits the final copies of the dissertation.

Following acceptance of the dissertation and its defence, the candidate will be placed on the tentative list of graduates for the following Encaenia or Convocation. This list must be approved by the Executive Committee of the School of Graduate Studies, the Fredericton and Saint John Senates, and the Board of Governors of the University of New Brunswick.

Approved by the Executive Committee of the School of Graduate Studies, March 18, 2004; Approved by Fredericton & Saint John Senates, March 30/31, 2004.

**STEPS TO BE FOLLOWED
IN SUBMITTING AND ASSESSING DOCTORAL DISSERTATIONS**

SAMPLE LETTERS AND FORMS

The University of New Brunswick
SCHOOL OF GRADUATE STUDIES

Completion of GAU Requirements for Ph.D. Degree

Note: Please submit this form to the Graduate School as soon as the candidate has satisfied all GAU requirements and the dissertation is ready for submission to the University Examining Board.

Name of Student: _____

GAU: _____ **Student Number:** _____

This is to certify that the above candidate has satisfactorily completed all the GAU requirements for the Ph.D. degree, as follows:

COURSE REQUIREMENTS

Course Number	Short Title	Value	Taken	*Campus	Grade Obtained
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The course requirements for this degree/diploma and the manner in which these requirements have been satisfied are as follows:

REQUIREMENT:

- a) a minimum of ____ year courses or equivalent
- or b) A minimum of ____ units of courses
- c) A cumulative GPA of 3.0

ACCOMPLISHMENT:

- a) A total of ____ year courses or equivalent passed
- or b) A total of ____ units of courses completed
- c) A cumulative GPA of ____ was obtained

- *Indicate whether course(s) taken at Fredericton (F) or Saint John (SJ) campus*

Completion of GAU Requirements for Ph.D. Degree (cont'd)**LANGUAGE REQUIREMENTS**

_____ The language requirement for this degree was satisfied as follows:

_____ There is no compulsory language requirement for this degree.

DISSERTATION REQUIREMENT

DATE APPROVED BY GAU:

SUPERVISOR(S):

CAMPUS OF SUPERVISOR(S): _____ UNBSJ _____ UNBF

TITLE: *(please ensure that the title is as concise as possible but also provides a clear indication of the dissertation topic)*

NUMBER OF COPIES FORWARDED: _____ (minimum of 4; must include "original" copy)

This dissertation has been approved by the GAU and is now submitted for examination by the University Examining Board. I certify that this dissertation and all submitted copies have been prepared in accordance with the current regulations governing the preparation and format of graduate dissertations.

Director of Graduate Studies

Date

**EXAMPLE OF LETTER/MEMO FROM GAU
TO THE DEAN OF
THE SCHOOL GRADUATE STUDIES**

(To accompany completion form and four copies of dissertation)

MEMO TO: Dean of Graduate Studies

SUBJECT: **Ph.D. Dissertation -- (name of candidate)**

This is to inform you that

- Full Name of External Examiner (no abbreviations)
- Physical address (must include street name, number, building & room no. for courier)
- phone number & e-mail

has informally agreed to act as External Examiner for the Ph.D. dissertation entitled [“title of dissertation”] of the above-noted candidate. The GAU or Supervisor [**has sufficient funds and is willing to contribute \$_____ towards travel for**] or [**does not wish to invite**] the External Examiner to attend the oral examination

For the UNB Examining Board, may we suggest the following:

- Internal Examiner(s) - Supervisor(s)
- Internal Examiner from the student’s GAU
- Internal Examiner from the student’s GAU or from another GAU at UNB.
- Internal Examiner from another GAU at UNB.

All have informally agreed to serve on the Examining Board.

(signature)
Director of Graduate Studies
Department/Faculty
UNBF or UNBSJ

Please note: An Informal approach to the External Examiner should be made by the DoGS of the candidate’s GAU [not by the supervisor(s)]. Where the DoGS has some involvement with the dissertation, the Chair of the Department or Dean of Faculty or designate in the decanal structure should make the informal contact with the external examiner. Every precaution should be taken to avoid a potential conflict of interest situation in the selection of an external examiner. Please see the form on page 24 and submit the signed form to the School of Graduate Studies.

EXAMPLE OF MEMO SENT TO CHAIRPERSON OF EXAMINING BOARD

MEMO TO: (Name and Field of Chairperson)

SUBJECT: Ph.D. Dissertation -- (Name and GAU of Candidate)

I wish to thank you for agreeing to act as Chairperson of the Examining Board for the Ph.D. dissertation of [student's name].

The membership of the Examining Board is as follows:

- | | |
|--|---------------|
| • Name and field of Supervisor(s) | Supervisor(s) |
| • Name and field of Reader in GAU | |
| • Name and field of Reader outside GAU | |
| • Name and field of Chairperson of Examining Board | Chairperson |

External Examiner: (Name and Address of External Examiner)

Your duties as Chairperson are described in the enclosed document entitled "Procedures for the Submission and Assessment of Doctoral Dissertations." If you have any questions concerning your duties, I shall be pleased to discuss them with you at a mutually convenient time.

The following forms have been enclosed:

- One copy of "Assessment of Ph.D. Dissertation & Oral Examination" form for your own use.
- Two copies of "Authority to Distribute"(Please note both the candidate & the supervisor need to sign the "Authority to Distribute" form. Also, the candidate is to indicate whether distribution is to be "restricted" or "unrestricted")
- One copy of the "Non-exclusive Licence to Reproduce Dissertations";
- One copy of the "Dissertation/Report Binding Form"
- One copy of the "Dissertation/Report Binding Form - for Personal Copies." (Pink Form)
- One copy of "Approval of Duplicated Copies of Dissertations"(if the student wants Graphic Services to produce the copies).
- One "Application to Graduate" blue card to be completed by the student & signed by the Director of Graduate Studies in the Department.

I am most grateful to you for undertaking this responsible task.

(Signature of Dean)

Enclosures

EXAMPLE OF MEMO SENT TO SUPERVISOR OF CANDIDATE

MEMO TO: (Name and Field of Supervisor)

SUBJECT: Ph.D. Dissertation-- (Name and GAU of Candidate)

This is to advise you that the University Examining Board has been established to read and assess the Ph.D. dissertation for [student's name].

The membership of the Examining Board is as follows:

- | | |
|--|-------------|
| • Name and field of Supervisor(s) | Supervisor |
| • Name and field of Reader in GAU | |
| • Name and field of Reader outside GAU | |
| • Name and field of Chairperson of Examining Board | Chairperson |

External Examiner: (Name and Address of External Examiner)

Your duties as Supervisor are described in the enclosed document entitled "Procedures for the Submission and Assessment of Doctoral Dissertations." If you have any questions concerning your duties as supervisor(s) of the candidate, I shall be pleased to discuss them with you at a mutually convenient time.

Please find enclosed the Internal Examiner's Assessment forms for use in making your independent assessment. If you would like to receive these forms by e-mail attachment, please advise the SGS Administrative Coordinator.

The Chairperson of the Examining Board will be in touch with you in due course.

(Signature of Dean)

Enclosures

EXAMPLE OF MEMO SENT TO OTHER MEMBERS OF EXAMINING BOARD

MEMO TO: (Name and Field of Reader)

SUBJECT: Ph.D. Dissertation -- (Name and GAU of Candidate)

I wish to thank you for agreeing to act as a member of the Examining Board for the Ph.D. dissertation of [student's name].

The membership of the Examining Board is as follows:

- | | |
|--|---------------|
| • Name and field of Supervisor(s) | Supervisor(s) |
| • Name and field of Reader in GAU | |
| • Name and field of Reader outside GAU | |
| • Name and field of Chairperson of Examining Board | Chairperson |

External Examiner: (Name and Address of External Examiner)

Your duties are described in the enclosed document entitled "Procedures for the Submission and Assessment of Doctoral Dissertations." If you have any questions concerning your duties, I shall be pleased to discuss them with you at a mutually convenient time.

As well, please find enclosed the Internal Examiner's Assessment form for use in making your independent assessment. If you would like to receive these forms by e-mail attachment, please contact the SGS Administrative Coordinator.

The Chairperson of the Examining Board will be in touch with you in due course.

I am most grateful to you for undertaking this responsible task.

(Signature of Dean)

Enclosures

EXAMPLE OF STANDARD LETTER SENT TO EXTERNAL EXAMINER

[Name of External Examiner]:

I wish to thank you for agreeing to act as external examiner for the Ph.D. dissertation of [name of candidate] entitled [“title of dissertation”].

The following are the criteria for satisfying the dissertation requirements of our Ph.D. programme: first, the dissertation must demonstrate the candidate’s competence to undertake and complete independent research or creative work; second, the dissertation must be original and/or unique in nature; and third, the completed work must contribute significantly to knowledge in the candidate’s field of study. In addition, the candidate’s contribution must be competent enough to merit consideration for publication in an appropriate scholarly journal or another form; it must demonstrate that the candidate is fully aware of the pertinent published material; and it must be written in a satisfactory literary style and be free of typographical and other mechanical errors.

Given the above criteria, I request that you complete your review by using the assessment forms sent to you by courier. If you would like to receive the assessment forms by e-mail attachment, please contact the SGS Administrative Coordinator [“insert name, phone number & e-mail”]. Your report is to include one of the following recommendations with respect to the dissertation as well as a summary paragraph outlining the reasons for that recommendation:

- a) the dissertation is accepted without modification;
- b) the dissertation is acceptable subject to minor modifications which are described on the attached sheet(s) or on the dissertation;
- c) the dissertation is not acceptable as submitted and major revisions are required (please see attached sheet(s) or remarks on the dissertation).
- d) the dissertation is not acceptable.

Unfortunately, the University is normally unable to provide funds to enable External Examiners to attend PhD oral examinations. However, the university is able to connect you by telephone to the oral examination should you wish to participate in that way. In the event that you will not be attending and will not be linked by telephone, the Graduate School would appreciate your providing a few questions on the enclosed sheet (typically 3 to 5). The Chairperson of the Examining Board will pose these on your behalf at the oral examination.

At the conclusion of your review, your report and the dissertation should be returned directly to the School of Graduate Studies. This should occur within one month of your receipt of the dissertation. It would be helpful to the candidate if all major comments regarding suggested and/or required modifications are made on a separate sheet of paper. However, external examiners should feel free to mark up the text if that is the most convenient way of identifying typographical errors, minor textual problems, et cetera.

Your willingness to assist the University of New Brunswick in this matter is greatly appreciated. As a small token of the University’s appreciation you will receive an honorarium of \$150.00.

(Signed by Dean)

xc: Supervisor
Director of Graduate Studies

EXAMPLE OF INVITATORY LETTER SENT TO THE EXTERNAL EXAMINER

Dear (Name of External Examiner),

I wish to thank you for agreeing to act as external examiner for the PhD dissertation of [name of candidate] entitled [title of dissertation].

The following are the criteria for satisfying the dissertation requirements of our Ph.D. programme: first, the dissertation must demonstrate the candidate's competence to undertake and complete independent research or creative work; second, the dissertation must be original and/or unique in nature; and third, the completed work must contribute significantly to knowledge in the candidate's field of study. In addition, the candidate's contribution must be competent enough to merit consideration for publication in an appropriate scholarly journal or another form; it must demonstrate that the candidate is fully aware of the pertinent published material; and it must be written in a satisfactory literary style and be free of typographical and other mechanical errors.

Given the above criteria, I request that you complete your review by using the assessment forms sent to you by courier. If you would like to receive the assessment forms by e-mail attachment, please contact the SGS Administrative Coordinator ["insert name, phone number & e-mail"]. Your report is to include one of the following recommendations with respect to the dissertation as well as a summary paragraph outlining the reasons for that recommendation:

- a) the dissertation is accepted without modification;
- b) the dissertation is acceptable subject to minor modifications which are described on the attached sheet(s) or on the dissertation;
- c) the dissertation is not acceptable as submitted and major revisions are required (please see attached sheet(s) or remarks on the dissertation).
- d) the dissertation is not acceptable.

At the conclusion of your review, your report and the dissertation should be returned directly to the School of Graduate Studies. This should occur within one month of your receipt of the dissertation. It would be helpful to the candidate if all major comments regarding suggested and/or required modifications are made on a separate sheet of paper. However, external examiners should feel free to mark up the text if that is the most convenient way of identifying typographical errors, minor textual problems, et cetera.

Your willingness to assist the University of New Brunswick in this matter is greatly appreciated. As a small token of the University's appreciation you will receive an honorarium of \$150.00.

The Graduate Academic Unit has recommended to me that you should be invited to attend the oral examination of the candidate in the event that the Examining Board agrees to accept the thesis. I am very pleased to accept the GAU's recommendation and invite you to attend this examination. The precise date and a program for this examination will be sent to you as soon as the arrangements are finalized. Should you be able to accept the invitation, your traveling expenses will be paid by the GAU. I should be grateful if you could let me know as soon as possible if you are able to attend.

(Signed by Dean)

xc: Supervisor
Chairperson

**The University of New Brunswick
SCHOOL OF GRADUATE STUDIES**

INTERNAL EXAMINER'S ASSESSMENT OF Ph.D. DISSERTATION

Name of Candidate: _____ GAU: _____

Title of Dissertation: _____

The criteria for satisfying the dissertation requirement of our PhD program are the submission of a dissertation which (1) must demonstrate the candidate's competence to undertake and complete independent research or creative work that (2) is original and/or unique in nature, and (3) the completed work must contribute significantly to knowledge in the candidate's field of study. The contribution must be of sufficient merit to suggest publication in an appropriate scholarly journal or other form. The dissertation must show that the candidate is fully aware of the pertinent published material and the dissertation must be written in a satisfactory literary style, free from typographical and other mechanical errors.

Given the above, I request that you complete your review by using the attached forms for your report. The report is to include one of the following recommendations with respect to the dissertation, and a summary paragraph outlining the reasons for that recommendation and is to be given to the Chair of the Examining Board, either prior to or at the examining board meeting

I have read the dissertation for the above candidate and I have reached the following decision*:

1. ___ The dissertation is acceptable without modification.
2. ___ The dissertation is acceptable provided that minor modifications, which are described on the attached sheet, are made to the satisfaction of the Examining Board.
3. ___ The dissertation requires major revision and is returned to the student for revision and re-submission to the supervisory committee of the graduate academic unit.
4. ___ The dissertation is not acceptable and I recommend that the degree not be awarded.

MY COMMENTS AND REPORT APPEAR ON THE ATTACHED FORMS:

Signature of the Internal Examiner: _____

*Any member of the Examining Board dissenting from the majority decision is requested to specify the reasons for the dissent on a separate sheet.

SAMPLE OF LETTER OR E-MAIL TO CANDIDATE NOTIFYING OF ORAL EXAMINATION

Name of Candidate
Graduate Student

This is to inform you that the final oral examination for your Ph.D. dissertation will be held at the time and place indicated on the enclosed notice of examination.

At that time you will be required to present a 30-minute public summary of your research results indicating to the examiners the scope and significance of your investigation. The length of your presentation should be timed for 30 minutes (your ability to present your work within a time limit is one of the criterion being judged in your oral). If, for some reason, you run over the 30 minutes, the chair will signal you at 35 minutes and will curtail your presentation at 40 minutes. If you are using power point or audio-visual materials, you may want to set up in the room well ahead of time and practice your timing. You may also want to bring water to the exam with you given the fact that you will be speaking and answering questions for two hours.

Following your 30-minute presentation, the Examining Board will direct two rounds of questions to you concerning your research and the basic principles underlying it (each examiner has 15 minutes of questions on the first round and 5 minutes on the second). If time permits after the completion of the Examining Board's questions, the chair of the oral examination will open the oral to questions from faculty, students, and the public. Once the questions and discussion period have ended, all students and members of the public will be asked to leave the room while the Examining Board confers. You will also be asked to leave but not to go too far away. Because the Examining Board will be discussing both your dissertation and your oral (including any changes that might still have to be made to the dissertation), the post-oral discussion of the Examining Board may easily last a half hour. Therefore, be prepared to wait for that long a period of time after the oral has ended.

I wish you success in your dissertation defense. Please do not hesitate to contact me if you have any questions.

Sincerely,

The Dean or Administrative Coordinator

The University of New Brunswick
SCHOOL OF GRADUATE STUDIES

ASSESSMENT OF Ph.D. DISSERTATION & ORAL EXAMINATION

Name of Candidate: _____ GAU: _____

Title of Dissertation: _____

The members of the Examining Board for the above candidate have examined his/her dissertation, have today conducted an oral examination, and have reached the following decisions*:

DISSERTATION

1. _____ The dissertation is accepted without modification.
2. _____ The dissertation is acceptable provided that required minor modifications are made to the satisfaction of the Examining Board.
3. _____ The dissertation requires major revision and is returned to the student for revision and final submission to the Examining Board within a one year limit.
4. _____ The dissertation is not acceptable and the Examining Board recommends that the degree not be awarded.

ORAL EXAMINATION

1. _____ The oral defence is acceptable.
2. _____ The oral defence is not wholly acceptable and the Examining Board therefore requests that a further oral presentation and defence be held before a final decision is made.
3. _____ The oral defence is not acceptable and the Examining Board recommends that the degree not be awarded.

COMMENTS: _____ _____ _____ _____

Signatures of the Members of the Examining Board:

Supervisor

Member of the Examining Board

Chairperson of the Examining Board

Chairperson of the Oral Examination

Supervisor

Member of the Examining Board

External Examiner

Date

*If revisions to the dissertation are required, the procedures outlined on page 6 of the Procedures for the Submission and Assessment of Doctoral Theses should be followed.

HARRIET IRVING LIBRARY

This is to authorize the Dean of Graduate Studies
to deposit two copies of my dissertation/thesis/report in the
University Library on the following conditions:

(DELETE one of the following conditions)

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OR

- (b) The author agrees that the deposited copies of this dissertation/thesis/report may be made available to users only with her/his written permission for the period ending

JUSTIFICATION:

After that date, it is agreed that the dissertation may be made available to users at the discretion of the University of New Brunswick.*

Date

Signature of Author

Signature of Supervisor

Signature of Supervisor

Signature of the Dean of Graduate Studies

Date

*Authors should consult the "Regulations and Guides for the Preparation and Submission of Graduate Dissertations/Theses and Reports" for information concerning the permissible period of restricted access and for the procedures to be followed in applying for this restriction. **The maximum period of restricted access to a dissertation is four years.**

BORROWERS must give proper credit for any use made of this dissertation/thesis/report and obtain the consent of the author if they propose to quote or to reproduce the dissertation in whole or in part.

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This form can be obtained from the School of Graduate Studies or by going onto the Library and Archives Canada website: <http://collectionscanada.ca/thesescanada/s4-200-e.html>

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Please complete the following form and hand it in to the Graduate School with your dissertation/thesis/report.

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- C. Please note that some GAU's require additional copies for the Supervisor(s) and/or Department which are to be included in your Personal copies.

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UNIVERSITY OF NEW BRUNSWICK

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Please complete this form and submit along with your personal copies of dissertation/thesis/report to the Commons Service Desk, Harriet Irving Library.

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Circulation Dept., Harriet Irving Library

IMPORTANT: Prior to the submission of final copies of your thesis, dissertation or report, it is very important that the formatting conforms according to the School of Graduate Studies Regulations or your copies will not be accepted. Please ask the Admin. Coordinator at SGS or your Supervisor to sign attesting that they are formatted according to the SGS Regulations & Guidelines:

SGS or Supervisor's Name: _____ **Signature:** _____

Conflict of Interest Guidelines concerning selection of an external examiner for a PhD dissertation (adapted from and with full acknowledgment to NSERC) http://www.nserc.ca/commit/prm2003/prm-ch6_discovery_grant_e.htm#6_6

There is a conflict of interest when:

- A proposed external examiner is, or was in the last six years, from the same university, organization or department, or belongs or belonged, in the last six years, to the same research unit as the supervisor(s) or candidate; or
- There is an administrative or family link between the proposed external examiner and the supervisor(s) or candidate (e.g., head of the department, dean of the faculty, etc.); or
- A proposed external examiner is an industrial or government representative who is or was in the last six years directly involved in collaborative activities with the supervisor(s) or candidate; or
- A proposed external examiner is a former research supervisor or graduate student of the supervisor(s) or candidate or has collaborated or published with the supervisor(s) or candidate within the past six years; or
- The proposed external examiner is uncomfortable with reviewing the proposal due to previous conflicts or any other reason (e.g., past student or supervisor, even if more than six years ago, or personal conflict); or
- The GAU committee or School of Graduate Studies has reason to believe that a specific proposed external examiner should not be involved in the review.

None of the proposed external examiners on the attached list are in conflict of interest with the supervisor(s), or with the PhD candidate _____ in the GAU of _____.

Student's name

Department/Faculty

Date:

Supervisor(s):

The University of New Brunswick
SCHOOL OF GRADUATE STUDIES

MODIFICATIONS TO THE DISSERTATION

Name of Candidate:

GAU:

Title of Dissertation:

This is to certify that any required minor or major modifications recommended by the members of the Examining Board, including the External Examiner, have been made to the satisfaction of the Examining Board or its surrogate.

I verify that the modifications required by the Examining Board have been made by the candidate.

Signature of Supervisor

Date

Signature of Supervisor

Date

OR (if requested by the Examining Board Committee)

Chair of the Examining Board Committee

Date

APPLICATION TO GRADUATE

The application to graduate is completed by the student on-line, please visit the graduation website for information on how to apply: <http://www.unb.ca/graduation/>