

The following Motions and Documents were considered by the GFC Academic Standards Committee at its Thursday, June 15, 2017 meeting:

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Agenda Title: **Proposed Approval and Denial of Transfer Credit for June 2017, Office of the Registrar (Items Deemed Minor/Editorial to be approved under an Omnibus Motion)**

**CARRIED MOTION:** THAT the GFC Academic Standards Committee approve, under delegated authority from General Faculties Council, the proposed Approval and Denial of Transfer Credit for June 2017, as submitted by the Office of the Registrar and to take effect on final approval.

Final Item: 4A

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Agenda Title: **Changes to the Admission of Aboriginal Students Calendar Section and updates to Faculty sections**

**CARRIED MOTION:** THAT the GFC Academic Standards Committee recommend to the GFC Academic Planning Committee the proposed changes to the calendar sections related to the admission of First Nations, Métis and Inuit students as set forth in Attachments 1 and 2, as amended.

Final Amended Recommended Item: 5

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Agenda Title: **Faculty of Graduate Studies and Research: Proposed revisions to existing Supervision and Examinations policy**

**CARRIED MOTION:** THAT the GFC Academic Standards Committee recommend to the GFC Executive Committee the proposed revisions to existing Supervision and Examinations policy, as submitted by the Faculty of Graduate Studies and Research and as set forth in Attachment 1, as amended, to take effect July 1, 2018.

Final Amended Recommended Item: 6

**OUTLINE OF ISSUE**  
**Action Item**

 Agenda Title: **Items Deemed Minor/Editorial to be approved under an Omnibus Motion**
**4A. Proposed Approval and Denial of Transfer Credit for June 2017, Office of the Registrar**
**Item**

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Lisa Collins, Vice-Provost and Registrar
Presenter	Tammy Hopper, Vice-Provost (Programs) and Chair, GFC Academic Standards Committee

**Details**

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	See individual items for detail on proposed changes submitted by Faculties and the Office of the Registrar.
The Impact of the Proposal is	See individual items for detail on proposed changes submitted by Faculties and the Office of the Registrar.
Replaces/Revises (eg, policies, resolutions)	Updates the Alberta Transfer Guide.
Timeline/Implementation Date	Item 4A: To take effect upon approval
Estimated Cost and funding source	N/A
Next Steps (ie.: Communications Plan, Implementation plans)	N/A
Supplementary Notes and context	The Office of the Provost and Vice-President (Academic) has determined that the proposed changes are routine or editorial in nature. ASC's terms of reference provide that "the term 'routine and/or editorial' refers to proposals which do not involve or affect other Faculties or units; do not form part of a proposal for a new program; and do not involve alteration of an existing quota or establishment of a new quota. Editorial or routine changes include any and all changes to the wording of an admissions or academic standing policy" (3.A.i).

**Engagement and Routing** (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	Vice-Provost (Programs) and Chair, GFC Academic Standards Committee; Faculty Councils; Representatives of the Office of the Registrar and the Office of the Provost and Vice-President (Academic)
Approval Route (Governance) (including meeting dates)	GFC Academic Standards Committee – June 15, 2017
Final Approver	GFC Academic Standards Committee

**Alignment/Compliance**

Alignment with Guiding Documents	<i>For the Public Good</i>  GOAL: <b>SUSTAIN</b> our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to
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	<p>the benefit of all.</p> <p>Objective 21: Encourage continuous improvement in administrative, governance, planning, and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institution as a whole to achieve shared strategic goals.</p>
<p>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)</p>	<p>1. <b>Post-Secondary Learning Act (PSLA):</b> The <i>PSLA</i> gives GFC responsibility, subject to the authority of the Board of Governors, over academic affairs. Further, the <i>PSLA</i> gives the Board of Governors authority over certain admission requirements and rules respecting enrolment of students to take courses. The Board has delegated its authority over these areas to GFC. GFC has thus established, and delegated certain powers to, an Academic Standards Committee.</p> <p>2. <b>PSLA</b>  “29(1) A faculty council may:  [...]  (c) provide for the admission of students to the faculty,  (d) determine the conditions under which a student must withdraw from or may continue the student’s program of studies in the faculty  [...]  subject to any conditions or restrictions that are imposed by the general faculties council.</p> <p>3. <b>GFC ASC Terms of Reference (Mandate of the Committee)</b>  “D. Alberta Transfer Guide  i. ASC approves, for inclusion in the Alberta Transfer Guide, courses for transfer credit to the University of Alberta which are offered by non-University institutions in Alberta. Approval will be based upon an assessment of course content and level of instructor qualifications.  ii. ASC denies courses for transfer credit to the University of Alberta which are offered by non-University institutions in Alberta.  iii. ASC monitors the entries in the Alberta Transfer Guide relevant to the University of Alberta.  iv. ASC rescinds, if necessary, the entries in the Alberta Transfer Guide relevant to the University of Alberta.”</p> <p>4. <b>UAPPOL Transfer Credit Articulation Procedure (Overview and Procedure):</b> “The University of Alberta will accept for transfer credit the courses recommended by Faculties and approved by ASC for inclusion in the Alberta Transfer guide, to the extent that the courses fit the degree program that the student wishes to enter. Credit for such courses will be considered in a credit-no credit basis only and will not be included in the University grade point average calculation on the University transcript. Faculties may have other requirements...Transfer credit is assessed on an individual course-by-course basis for by a block transfer agreement.”</p> <p>5. <b>GFC Academic Standards Committee Terms of Reference (Mandate of the Committee)</b>  “A. Definitions  i. “Routine and/or Editorial  [...]</p>

**FINAL Item No. 4A**

	<p>the term “routine and/or editorial” refers to proposals which do not involve or affect other Faculties or units; do not form part of a proposal for a new program; and which do not involve alteration of an existing quota or establishment of a new quota. Editorial or routine changes include any and all changes to the wording of an admissions or academic standing policy.</p> <p>[...]</p> <p>B. Admission and Transfer, Academic Standing, Marking and Grading, Term Work, Examinations, International Baccalaureate (IB), Advanced Placement (AP)</p> <p>i. All proposals from the Faculties or the Administration related to admission and transfer, to the academic standing of students, to institutional marking and grading policies and/or procedures and to term work policies and procedures are submitted to the Provost and Vice-President (Academic) (or delegate) who chairs the GFC Academic Standards Committee. ASC will consult as necessary with the Faculties and with other individuals and offices in its consideration of these proposals.</p> <p>ii. ASC acts for GFC in approving routine and/or editorial changes to both admission/transfer policies and academic standing regulations”</p>
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Attachments

1. Attachment A: Office of the Registrar: Proposed Approval and Denial of Transfer Credit for June 2017

*Prepared by:* Meg Brolley, GFC Secretary, meg.brolley@ualberta.ca

June 1, 2017

UNIVERSITY OF ALBERTA: OFFICE OF THE REGISTRAR

Summary of Transfer Credit Proposals DENIED

Circulated for Information Only at the Academic Standards Committee Meeting on June 15, 2017

<b>Sending Institution</b>	<b>Sending Institution Course</b>	<b>U of A Course Requested</b>	<b>Denial Date</b>	<b>Reason for Denial</b>
<b>PORTAGE COLLEGE</b>				
	PHARM 250 (3)	NURS215 (3)	May 19, 2017	The Pharmacokinetics/ Pharmacodynamics sections are too superficial. The course is targeted to paramedic students (and LPN students). The focus of drug therapy in EMT-P are protocol based and focus primarily on a focused group of drugs. NURS215 focuses on using PK/ PD to understand drug therapy implications to nursing practice. This approach moves beyond basic PK/ PD principles and the "classification of drugs" approach in pharmacology teaching. This highlights the value of pharmacotherapeutic knowledge in RN practices.
	COMM 135 (3)	Nursing Option 1XX (3)	May 31, 2017	The course is not deep enough to be accepted as a stand alone transfer course.

June 1, 2017

UNIVERSITY OF ALBERTA: OFFICE OF THE REGISTRAR  
Proposals Recommended for APPROVAL of Transfer Credit at the  
Academic Standards Committee Meeting on June 15, 2017

Sending Institution	Sending Institution Courses	UofA Courses	Transfer Agreement Footnotes	Comments
<b>MACEWAN UNIVERSITY</b>	ARTE 214 (3)	HADVC 210 (3)		

June 1, 2017

UNIVERSITY OF ALBERTA: OFFICE OF THE REGISTRAR  
Proposals Recommended for APPROVAL of Transfer Credit at the  
Academic Standards Committee Meeting on June 15, 2017

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**OUTLINE OF ISSUE**  
**Action Item**

Agenda Title: **Changes to the Admission of Aboriginal Students Calendar Section and updates to Faculty sections.**

**Motion:** THAT the GFC Academic Standards Committee recommend to the GFC Academic Planning Committee the proposed changes to the calendar sections related to the admission of First Nations, Métis and Inuit students as set forth in Attachments 1 and 2, as amended.

**Item**

Action Requested	<input type="checkbox"/> Approval <input checked="" type="checkbox"/> Recommendation
Proposed by	Lisa Collins, Vice-Provost and University Registrar
Presenter	Lisa Collins, Vice-Provost and University Registrar

**Details**

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	To update impacted calendar sections on Aboriginal Admissions
The Impact of the Proposal is	In order to achieve consistency across Faculties, calendar sections are being updated to indicate that proof of Aboriginal identity will be required.
Replaces/Revises (eg, policies, resolutions)	Impacted sections of the University of Alberta Calendar.
Timeline/Implementation Date	For implementation and publication in the 2018/19 University Calendar.
Estimated Cost and funding source	N/A
Next Steps (ie.: Communications Plan, Implementation plans)	The Council on Aboriginal Initiatives requested that a First Nations, Metis, Inuit (FNMI) Working Group review the Admission of Aboriginal Students calendar entry and prepare any recommended changes. This will be communicated back to CAI at their next meeting.
Supplementary Notes and context	Faculty specific sections were approved by faculty councils.

**Engagement and Routing** (Include meeting dates)

Participation: (parties who have seen the proposal and in what capacity)  <For further information see the link posted on the <a href="#">Governance Toolkit section Student Participation Protocol</a> >	<u><i>Those who have been informed:</i></u> •
	<u><i>Those who have been consulted:</i></u> October 27, 2014 - FNMI Definitions Working Group (Subcommittee of the Council on Aboriginal Initiatives) – Collaboration on changes November 17, 2014 - Vice-Provosts' Council - Advice December 1, 2014 – Vice Provosts' Council - Advice December 11, 2014 -Council on Aboriginal Initiatives – Reporting/Consultation February 2, 2015 – Aboriginal Students' Association – Consultation February 9 , 2015 – Native Studies Students' Association - Consultation February 10, 2015 - University Legal Counsel - Advice February 13, 2015 – Council on Aboriginal Initiatives - Reporting/Consultation March 9, 2015 – Safe Disclosure and Human Rights - Advice



**FINAL Item No. 5**

	<p>April 1, 2015 – Faculty of Medicine and Dentistry Indigenous Health Initiatives - Consultation          May 5, 2015 - Students' Union - Consultation          May 5, 2015 - Graduate Students Association – Consultation          November 16, 2015 - Consultation with Catherine Bell, Faculty of Law          November 10, 2015 Consultation with Faculty of Rehabilitation Medicine          November 17, 2015 – Law Faculty Councils – Approval          November 17, 2015 – Medicine and Dentistry Faculty Councils – Approval          November 23, 2015 – Vice-Provosts' Council - Advice          November 25, 2015 – FGSR Council - Approval of Occupational Therapy Section          November 26, 2015 - President's Executive Committee – Operational – Consultation          November 26, 2015 - General Council - Consultation          December 2, 2015 - Deans' Council -Consultation          December 15, 2015 - FNS Executive Meeting - Consultation          December 17, 2015 – Council on Aboriginal Initiatives - Consultation          November, 2016 Approval by Faculty of Native Studies Faculty Council          May 9, 2017 Approval by Nursing Faculty Council          June 1, 2017 Academic Standards Committee Subcommittee on Standards – Consultation</p>
	<p><u><i>Those who are actively participating:</i></u></p> <ul style="list-style-type: none"> <li>•</li> </ul>
<p>Approval Route (Governance) (including meeting dates)</p>	<p>Academic Standards Committee - June 15, 2017          Academic Planning Committee – September 13, 2017          GFC Executive Committee (for information) – October 16, 2017          General Faculties Council – October 30, 2017</p>
<p>Final Approver</p>	<p>General Faculties Council</p>

**Alignment/Compliance**

<p>Alignment with Guiding Documents</p>	<p><b>OBJECTIVE:</b> Build a diverse, inclusive community of exceptional undergraduate and graduate students from Edmonton, Alberta, Canada, and the world.</p> <p><b>Strategy:</b> Develop and implement an undergraduate and graduate recruitment and retention strategy to attract Indigenous students from across Alberta and Canada.</p>
<p>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)</p>	<ol style="list-style-type: none"> <li>1. <b>Post-Secondary Learning Act (PSLA):</b> The Post-Secondary Learning Act (PSLA) gives GFC responsibility, subject to the authority of the Board of Governors, over academic affairs Section 26(1)).</li> <li>2. <b>PSLA:</b> The PSLA gives Faculty Councils power to “provide for the admission of students to the faculty” (29(1)(c)).</li> <li>3. <b>UAPPOL Admissions Policy:</b> “Admission to the University of Alberta is based on documented academic criteria established by individual Faculties and approved by GFC. This criteria may be defined in areas such as subject requirements, minimum entrance averages, and language proficiency requirements. In addition to</li> </ol>

**FINAL Item No. 5**

academic requirements for admission, GFC authorizes each Faculty to establish such other reasonable criteria for admission of applicants as the Faculty may consider appropriate to its programs of study, subject to the approval of GFC (e.g. interview, audition, portfolio, etc.)

The admission requirements for any Faculty will be those approved by GFC as set forth in the current edition of the University Calendar. In addition to the admission requirements, selection criteria for quota programs, where they exist, will also be published in the current edition of the University Calendar.

The responsibility for admission decisions will be vested in the Faculty Admission Committees or in the Deans of the respective Faculties, as the councils of such Faculties will determine.”

**4. UAPPOL Admissions Procedure:**

“PROCEDURE

**1. EFFECTIVE DATE OF CHANGES TO ADMISSION REGULATIONS**

Following approval by GFC:

a. Where changes to admission regulations may disadvantage students in the current admission cycle, normally implementation will be effective after the change has been published in the University Calendar for one full year (i.e., effective the second year that the information is published in the University Calendar).

For example, a change approved in May 2005 would be first published in the 2006-2007 University Calendar in March 2006. Therefore the statement cannot come into effect until September 2007 (affecting applicants who apply for the September 2007 term beginning July 2006).”

b. Where changes to admission regulations are deemed by the approving body to be ‘advantageous to students’, normally the date of implementation will be effective immediately or at the next available intake for the admitting Faculty.”

**5. GFC Academic Standards Committee (ASC) Terms of Reference (Mandate):** “B. Admission and Transfer, Academic Standing, Marking and Grading, Term Work, Examinations, International Baccalaureate (IB), Advanced Placement (AP)

i. All proposals from the Faculties or the Administration related to admission and transfer, to the academic standing of students, to institutional marking and grading policies and/or procedures and to term work policies and procedures are submitted to the Provost and Vice-President (Academic) (or delegate) who chairs the GFC Academic Standards Committee. ASC will consult as necessary with the Faculties and with other individuals and offices in its consideration of these proposals.

ii. ASC acts for GFC in approving routine and/or editorial changes to both admission/transfer policies [...]

iv. ASC provides advice or recommends to the GFC Academic Planning Committee (APC) on proposals which involve substantial change to admission/transfer regulations or to academic standing regulations.

**6. GFC Academic Planning Committee (APC) Terms of Reference (Mandate): Admission, Transfer and Academic Standing**

a. To consider advice or recommendation from the GFC ASC on proposals for the establishment of or change to general University admission or transfer policies affecting students, including policies affecting Open Studies students, and to act for GFC in approving policies which in APC's view are minor or routine; and to recommend to GFC on proposals involving major change

b. To consider advice or recommendation from the GFC ASC on proposals which involve substantial change to admission/transfer regulations or to academic standing regulations.

**7. GFC Executive Committee Terms of Reference: Agendas of General Faculties Council**

GFC has delegated to the Executive Committee the authority to decide which items are placed on a GFC agenda, and the order in which those agenda items appear on each GFC agenda.

When ordering items, the GFC Executive Committee will be mindful of any matters that are of particular concern to students during March and April so that the student leaders who bring those items forward are able to address these items at GFC before their terms end.

When recommendations are forwarded to General Faculties Council from APC, the role of the Executive shall be to decide the order in which items should be considered by GFC. The Executive Committee is responsible for providing general advice to the Chair about proposals being forwarded from APC to GFC.

1. Attachment 1 (page(s) 1 - 7) Admission of Aboriginal Students Calendar Section
2. Attachment 2 (page(s) 1 - 5) Faculty Calendar Sections

*Prepared by:* Kate Peters, Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic)  
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**Office of the Registrar  
For Publication in 2018-19 Calendar  
For Implementation in 2018-19**

<b>Current</b>	<b>Proposed</b>	<b>Explanation</b>
<p data-bbox="170 485 581 514"><b>Admission of Aboriginal Students</b></p> <p data-bbox="170 556 407 585"><b>General Statement</b></p> <p data-bbox="170 627 618 1050">The University of Alberta is committed to the recruitment, retention and graduation of Aboriginal students. The University also recognizes that Aboriginal applicants have traditionally been under represented in higher education and strives towards having the University's Aboriginal student population attain a level that is at least proportionate to the Aboriginal population of the province.</p> <p data-bbox="170 1125 623 1864">In order to facilitate appropriate representation of Aboriginal students on campus, additional qualified applicants may be considered over and above the Aboriginal students who are admitted in the regular competition for places in a Faculty. Aboriginal applicants who wish to be considered for such additional places must attain the minimum admission requirements of their chosen program as prescribed by the University and its Faculties and Schools. To assist the University in achieving this overall goal, Faculties are encouraged to set aside places specifically for Aboriginal applicants, the number being consistent with the available pool, student interests, and available teaching and learning support services.</p>	<p data-bbox="652 485 1063 514"><b>Admission of Aboriginal Students</b></p> <p data-bbox="652 556 889 585"><b>General Statement</b></p> <p data-bbox="652 627 1105 1829">The University of Alberta is committed to the recruitment, retention and graduation of Aboriginal students. The University also recognizes that Aboriginal applicants have traditionally been under represented in higher education and strives towards having the University's Aboriginal student population attain a level that is at least proportionate to the Aboriginal population of the province. <u>All Aboriginal students are encouraged to self-identify.</u> In order to facilitate appropriate representation of Aboriginal students on campus, additional qualified applicants may be considered over and above the Aboriginal students who are admitted in the regular competition for places in a Faculty. Aboriginal applicants who wish to be considered for such additional places must attain the minimum admission requirements of their chosen program as prescribed by the University and its Faculties and Schools. To assist the University in achieving this overall goal, Faculties are encouraged to set aside places specifically for Aboriginal applicants, the number being consistent with the available pool, student interests, and available teaching and learning support services.</p> <p data-bbox="652 1871 1073 1900"><b>Definition of Aboriginal People for</b></p>	

<p><b>Definition of Aboriginal People for the Purpose of Admission</b></p> <p>(1) <b>Definition of an Aboriginal Applicant:</b> For the purpose of application and admission to the University of Alberta, and in accordance with the Constitution Act, 1982, Part II, Section 35(2), an Aboriginal applicant is an Indian, Inuit, or Métis person of Canada, <del>or a person who is accepted by one of the Aboriginal peoples of Canada as a member of their community.</del></p> <p>(2) <b>Proof of Aboriginal Ancestry:</b> <del>Proof of Aboriginal ancestry may be required by Faculties; candidates will be advised at the time of application if they must provide it. Where proof is required, documentation will be verified by</del></p> <ul style="list-style-type: none"> <li>a. the Faculty of Law, if application is made to the Faculty of Law;</li> <li>b. the Faculty of Medicine and Dentistry, if the application is made to the Dentistry, Medicine, Dental Hygiene or Medical Laboratory Science programs;</li> <li>c. the Aboriginal Student Services Centre, acting on behalf of all other Faculties,</li> </ul>	<p><b>the Purpose of Admission</b></p> <p>(1) <b>Definition of an Aboriginal Applicant:</b> For the purpose of application and admission to the University of Alberta, and in accordance with the Constitution Act, 1982, Part II, Section 35(2), an Aboriginal applicant is an Indian, Inuit, or Métis person of Canada.</p> <p>(2) <b>Proof of Aboriginal Identity:</b> <u>Aboriginal applicants who wish to be considered for places reserved for Aboriginal students will be required to provide proof of Aboriginal identity.</u> Documentation will be verified by</p> <ul style="list-style-type: none"> <li>a. the Faculty of Law, if application is made to the Faculty of Law;</li> <li>b. the Faculty of Medicine and Dentistry, if the application is made to the Dentistry, Medicine, Dental Hygiene, <u>Radiation Therapy</u>, or Medical Laboratory Science programs;</li> <li>c. the Aboriginal Student Services Centre, acting on behalf of all other Faculties,</li> </ul>	<p><i>This changed language is consistent with that used by other U15 institutions and keeps the definition consistent with the Constitution Act.</i></p> <p><i>Additional clarity The change from “ancestry” to “identity” reflects evolution of language across the country.</i></p> <p><i>A requirement to prove identity ensures that Aboriginal applicants are being treated fairly and consistently across Faculties, where those applicants are competing for places reserved for Aboriginal students.</i></p>
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<p>if application is made to any other program.</p> <p>Aboriginal applicants must be aware that proof of <del>ancestry</del> does not guarantee admission to any program. All positions at the University are competitive and admission committees will make their selections from among the best qualified candidates. Candidates may also be required to demonstrate their connection to an Aboriginal community.</p> <p>The following is accepted as proof of <del>ancestry</del>, for the purpose of application:</p> <ul style="list-style-type: none"> <li>a. a certified copy of a Status <del>or Treaty</del> card;</li> <li>b. a certified copy of a Métis membership card;</li> <li>c. a certified copy of a Nunavut Trust Certificate card, <del>roll number or any other proof accepted by Inuit communities</del>;</li> <li>d. proof that an ancestor's name has been entered <ul style="list-style-type: none"> <li>1) in the Indian Register according to the</li> </ul> </li> </ul>	<p>if application is made to any other program.</p> <p>The following is accepted as proof of <u>Aboriginal identity</u>, for the purpose of application. <u>Other forms of proof may be considered.</u></p> <ul style="list-style-type: none"> <li>a. a certified copy of a Status card;</li> <li>b. <u>certified copy of citizenship or membership in a Metis Settlement from one of the five Métis Provincial Affiliates: Métis Nation of Alberta, Métis Nation of Ontario, Manitoba Métis Federation, Métis Nation-Saskatchewan, Métis Nation British of Columbia.</u></li> <li>c. a certified copy of a Nunavut Trust Certificate card;</li> <li>d. proof that an ancestor's name has been entered <ul style="list-style-type: none"> <li>1) in the Indian Register according to the</li> </ul> </li> </ul>	<p><i>Note: This paragraph moved below.</i></p> <p><i>Moved below</i></p> <p><i>This language provides greater specificity as to the kinds of membership cards that Métis applicants may have.</i></p>
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<p>Indian Act, or</p> <p>2) on the band list of an individual band, or</p> <p>3) <del>on the Inuit roll;</del></p> <p>e. <del>evidence of an ancestor who received a land grant or a scrip grant under the Manitoba Act or the Dominion Lands Act;</del></p> <p>f. written confirmation of Aboriginal <del>ancestry</del> from the Department of Indian Affairs;</p> <p>g. written confirmation of membership by a band council which has enacted its own band membership code;</p> <p>h. <del>a Statutory Declaration by an applicant attesting to Aboriginal ancestry, supplemented by letters or documentation supporting the Declaration</del></p> <p><del>1) from an official of a recognized native organization, or</del></p>	<p>Indian Act, or</p> <p>2) on the band list of an individual band, or</p> <p>3) <u>as beneficiaries of the Nunavut Land Claims Agreement or other claim regions such as Nunatsiavut, Nunavik, and Inuvialuit;</u></p> <p>e. written confirmation of Aboriginal <u>identity</u> from <u>Aboriginal Affairs and Northern Development Canada (AANDC) or Nunavut Tunngavik Incorporated;</u></p> <p>f. written confirmation of membership by a band council which has enacted its own band membership code;</p>	<p><i>Updated language</i></p> <p><i>Updated language</i></p> <p><i>Statutory Declarations as described here are difficult to verify. Note that the University does leave open the possibility of other forms of proof being considered.</i></p>
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<p><del>2) from a relative in an Aboriginal community, or</del>  <del>3) from the applicant describing involvement with Aboriginal issues.</del></p> <p><del>Other forms of proof may be considered.</del></p> <p><b>(3) Residence</b></p> <p>a. Regarding Application: Residence regulations affecting application to any program at this University shall be waived for Aboriginal applicants.</p> <p>b. Regarding Admission: For the purpose of determining admission to a program, an Aboriginal applicant who is not resident in Alberta will be considered in the following categories and in the order specified:</p> <p>1) First, as a candidate for the positions reserved for out-of-province applicants.</p>	<p>Aboriginal applicants must be aware that proof of <b>Aboriginal identity</b> does not guarantee admission to any program. All positions at the University are competitive and admission committees will make their selections from among the best qualified candidates. Candidates may also be required to demonstrate their connection to an Aboriginal community.</p> <p><b>(3) Residence</b></p> <p>a. Regarding Application: Residence regulations affecting application to any program at this University shall be waived for Aboriginal applicants.</p> <p>b. Regarding Admission: For the purpose of determining admission to a program, an Aboriginal applicant who is not resident in Alberta will be considered in the following categories and in the order specified:</p> <p>1) First, as a candidate for the positions reserved for out-of-province applicants.</p>	<p><i>Moved above.</i></p> <p><i>Moved from above.</i></p>
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<p>2) Second, as a candidate for the positions reserved for Alberta residents. Residence regulations shall be waived for this purpose.</p> <p>3) Third, as a candidate for positions set aside specifically for Aboriginal applicants. Preference for these positions may be given to those who are resident in Alberta.</p> <p><b>(4) Appeal on Aboriginal Status</b>  Appeals regarding <del>Aboriginal status</del> for the purpose of application can be made to the Office of the Provost and Vice-President (Academic). Appeals may be made on <del>status</del> only and must be received, in writing, within 30 days of the date on the letter advising that proof submitted in support of Aboriginal <del>status</del> has not been accepted for the purpose of application to a program. In the case of an appeal, the Office of the Provost and Vice-President (Academic) shall authorize a panel to review the decision, consisting of the following members:</p> <ul style="list-style-type: none"> <li>- in the Chair, the Provost and Vice-President (Academic) (or delegate)</li> <li>- President, Aboriginal Students</li> </ul>	<p>2) Second, as a candidate for the positions reserved for Alberta residents. Residence regulations shall be waived for this purpose.</p> <p>3) Third, as a candidate for positions set aside specifically for Aboriginal applicants. Preference for these positions may be given to those who are resident in Alberta.</p> <p><b>(4) Appeal</b>  Appeals regarding <u>proof of Aboriginal identity</u> for the purpose of application can be made to the Office of the Provost and Vice-President (Academic). Appeals may be made on <u>proof of Aboriginal identity only, and not on the admission decision</u>, and must be received, in writing, within 30 days of the date on the letter advising that proof submitted in support of Aboriginal <u>identity</u> has not been accepted for the purpose of application to a program. In the case of an appeal, the Office of the Provost and Vice-President (Academic) shall authorize a panel to review the decision, consisting of the following members:</p> <ul style="list-style-type: none"> <li>- in the Chair, the Provost and Vice-President (Academic) (or delegate)</li> <li>- President, Aboriginal Students</li> </ul>	<p style="text-align: center;"><i>Updated language</i></p>
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<p>Council (or delegate)</p> <ul style="list-style-type: none"> <li>- an Elder (appointed by the <del>University of Alberta Aboriginal Council</del>)</li> <li>- an appropriate representative of an <del>Indian</del>, Métis or Inuit community (appointed by the <del>University of Alberta Aboriginal Council</del>)</li> <li>- a member of a Faculty not associated with the case [appointed by the Provost and Vice-President (Academic)].</li> </ul> <p>The decision of the appeal panel is final and binding.</p>	<p>Council (or delegate)</p> <ul style="list-style-type: none"> <li>- an Elder (appointed by the <u>Council on Aboriginal Initiatives</u>)</li> <li>- an appropriate representative of a <u>First Nations</u>, Métis or Inuit community (appointed by the <u>Council of Aboriginal Initiatives</u>)</li> <li>- a member of a Faculty not associated with the case [appointed by the Provost and Vice-President (Academic)].</li> </ul> <p>The decision of the appeal panel is final and binding.</p>	
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**Office of the Registrar  
For Implementation and Publication in the 2018-19 Calendar**

<b>Current</b>	<b>Proposed</b>
<p><b>Faculty of Law</b></p> <p><b>Special Applicants</b></p> <p>No applicant can elect to be placed in any category. Allocation to such category shall be the responsibility of the Committee.</p> <p>(1) Aboriginal Applicants: For the purpose of application and admission to the University of Alberta, and in accordance with the Constitution Act, 1982, Part II, Section 35(2), an Aboriginal Applicant is an Indian, Inuit or Métis person of Canada, or a person who is accepted by one of the Aboriginal peoples of Canada as a member of their community. Refer to §14.1.2 for further details regarding proof of Aboriginal <b>ancestry</b>.</p> <p><b>Faculty of Medicine and Dentistry</b></p> <p><b>BSc in Medical Laboratory Science</b></p> <p>IV. Aboriginal Applicants</p> <p>The Division of Medical Laboratory Science will give up to one position within the quota for the BSc MLS program to Aboriginal applicants. Students of Aboriginal <b>ancestry</b> within the meaning of the Constitution Act, 1982, Section 35, Part 2, or a person accepted by one of the Aboriginal peoples of Canada as a member of their community, will be considered in this category.</p> <p>Candidates will be subject to normal minimum admission requirements as outlined in §15.9.2 and approval by the Divisional Admissions Committee. If there are no qualified Aboriginal applicants in any given year, the position will be allocated to the general applicant pool.</p> <p>Aboriginal applicants should contact the</p>	<p><b>Faculty of Law</b></p> <p><b>Special Applicants</b></p> <p>No applicant can elect to be placed in any category. Allocation to such category shall be the responsibility of the Committee.</p> <p>(1) Aboriginal Applicants: For the purpose of application and admission to the University of Alberta, and in accordance with the Constitution Act, 1982, Part II, Section 35(2), an Aboriginal Applicant is an Indian, Inuit or Métis person of Canada, or a person who is accepted by one of the Aboriginal peoples of Canada as a member of their community. Refer to §14.1.2 for further details regarding proof of Aboriginal <b>identity</b>.</p> <p><b>Faculty of Medicine and Dentistry</b></p> <p><b>BSc in Medical Laboratory Science</b></p> <p>IV. Aboriginal Applicants</p> <p>The Division of Medical Laboratory Science will give up to one position within the quota for the BSc MLS program to Aboriginal applicants. Students of Aboriginal <b>identity</b> within the meaning of the Constitution Act, 1982, Section 35, Part 2, or a person accepted by one of the Aboriginal peoples of Canada as a member of their community, will be considered in this category.</p> <p>Candidates will be subject to normal minimum admission requirements as outlined in §15.9.2 and approval by the Divisional Admissions Committee. If there are no qualified Aboriginal applicants in any given year, the position will be allocated to the general applicant pool.</p> <p>Aboriginal applicants should contact the</p>

Coordinator, Division of Medical Laboratory Science, for career planning.

### **Dental Hygiene Diploma**

#### **IV. Aboriginal Applicants**

Besides the regular quota positions, additional position(s) per year are available in the Dental Hygiene program for a qualified student of Aboriginal **ancestry**, within the meaning of the Constitution Act of 1982, Section 35(2). Applicants interested in this program should contact the Administrator, Indigenous Health Initiatives, Faculty of Medicine and Dentistry. See also §14.1.

### **Doctor of Dental Surgery (DDS)**

#### **IV. Aboriginal Applicants**

Besides the regular quota positions, an additional position per year is available in the DDS program for a qualified student of Aboriginal **ancestry**, within the meaning of the Constitution Act of 1982, Section 35, Part 2. Applicants interested in this program should contact the Administrator, Indigenous Health Initiatives, Faculty of Medicine and Dentistry. See also §14.1.

### **Doctor of Medicine (MD)**

#### **III. Aboriginal Applicants**

The Faculty of Medicine and Dentistry may provide up to five positions within quota for the MD program to qualified Aboriginal applicants over and above Aboriginal applicants who were admitted in the regular process. Candidates will be subject to normal minimum admission requirements as outlined in ~~§15.9.9~~ and to approval by the Faculty of Medicine and Dentistry Admissions Committee. For more information, contact the Faculty of Medicine and Dentistry Undergraduate Admissions Office.

Students who are of Aboriginal **ancestry** within

Coordinator, Division of Medical Laboratory Science, for career planning.

### **Dental Hygiene Diploma**

#### **IV. Aboriginal Applicants**

Besides the regular quota positions, additional position(s) per year are available in the Dental Hygiene program for a qualified student of Aboriginal **identity**, within the meaning of the Constitution Act of 1982, Section 35(2). Applicants interested in this program should contact the Administrator, Indigenous Health Initiatives, Faculty of Medicine and Dentistry. See also §14.1.

### **Doctor of Dental Surgery (DDS)**

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Besides the regular quota positions, an additional position per year is available in the DDS program for a qualified student of Aboriginal **identity**, within the meaning of the Constitution Act of 1982, Section 35, Part 2. Applicants interested in this program should contact the Administrator, Indigenous Health Initiatives, Faculty of Medicine and Dentistry. See also §14.1.

### **Doctor of Medicine (MD)**

#### **III. Aboriginal Applicants**

The Faculty of Medicine and Dentistry may provide up to five positions within quota for the MD program to qualified Aboriginal applicants over and above Aboriginal applicants who were admitted in the regular process. Candidates will be subject to normal minimum admission requirements as outlined in **Doctor of Medicine** and to approval by the Faculty of Medicine and Dentistry Admissions Committee. For more information, contact the Faculty of Medicine and Dentistry Undergraduate Admissions Office.

Students who are of Aboriginal **identity** within

the meaning of the Constitution Act, 1982, Section 35(2) will be considered in this category.

Aboriginal student applicants and prospective pre-medical students should contact the Coordinator, Aboriginal Health Care Careers, Faculty of Medicine and Dentistry for individual counseling and career planning. See also §14.1.

### **Bachelor of Science in Radiation Therapy**

#### **IV. Aboriginal Applicants**

The Department of Oncology will provide up to one position within the quota for the BSc Radiation Therapy program to Aboriginal applicants. Students of Aboriginal **ancestry** within the meaning of the Constitution Act, 1982, Section 35, Part 2, or a person accepted by one of the Aboriginal peoples of Canada as a member of their community, will be considered in this category.

Candidates will be subject to normal minimum admission requirements as outlined in §15.9.10 and approval by the Radiation Therapy Admissions Committee. If there are no qualified Aboriginal applicants in any given year, the position will be allocated to the general applicant pool.

Aboriginal applicants should contact the Department of Oncology in the Faculty of Medicine and Dentistry for career planning.

### **Faculty of Native Studies**

#### **BA (Native Studies)/BEd Combined Degrees**

The Bachelor of Arts in Native Studies/Bachelor of Education Combined Degrees program allows students to complete both degrees in a five-year program consisting of \*150. Students may select either the Secondary or the Elementary program. The program is open to both Native and non-Native applicants. However, to correct an historic disadvantage and in recognition that the demand

the meaning of the Constitution Act, 1982, Section 35(2) will be considered in this category.

Aboriginal student applicants and prospective pre-medical students should contact the Coordinator, Indigenous Health Initiatives, Faculty of Medicine and Dentistry for individual counseling and career planning. See also **Admission of Aboriginal Applicants.**

### **Bachelor of Science in Radiation Therapy**

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for students of native **ancestry** is significant, Native students are especially encouraged to apply.

## Faculty of Nursing

### BSc in Nursing–Collaborative Program

#### IV. Aboriginal Applicants

(1) In addition to the regular quota positions, up to six more positions per year are available in the Collaborative BScN program for qualified students of Native **ancestry** within the meaning of the Constitutional Act of 1982, Section 35, Part 2. Please refer to §14.1 for regulations and requirements.

## Faculty of Pharmacy and Pharmaceutical Sciences

### Aboriginal Applicants

The Faculty of Pharmacy and Pharmaceutical Sciences may provide one position to an Aboriginal applicant, over the regular quota of 130 students. Students who are of Aboriginal **ancestry** within the meaning of the Constitution Act, 1982, Section 35(2) will be considered in this category (§14.1). Proof of Aboriginal status, to be provided as part of the application for admission, is required for consideration of this position [§14.1.2(2)].

Candidates will be subject to admission as outlined in §15.12.1, and to approval by the Faculty of Pharmacy and Pharmaceutical Sciences Admissions Committee. If there are no qualified Aboriginal students in any given year, this position will not be allocated to other applicants.

Aboriginal student applicants should contact the Coordinator, Native Health Care Careers, for individual counselling and career planning. See also §14.1.

disadvantage and in recognition that the demand for students of native **identity** is significant, Native students are especially encouraged to apply.

## Faculty of Nursing

### BSc in Nursing–Collaborative Program

#### IV. Aboriginal Applicants

(1) In addition to the regular quota positions, up to six more positions per year are available in the Collaborative BScN program for qualified students of Native **identity** within the meaning of the Constitutional Act of 1982, Section 35, Part 2. Please refer to §14.1 for regulations and requirements.

## Faculty of Pharmacy and Pharmaceutical Sciences

### Aboriginal Applicants

The Faculty of Pharmacy and Pharmaceutical Sciences may provide one position to an Aboriginal applicant, over the regular quota of 130 students. Students who are of Aboriginal **identity** within the meaning of the Constitution Act, 1982, Section 35(2) will be considered in this category (§14.1). Proof of Aboriginal status, to be provided as part of the application for admission, is required for consideration of this position [§14.1.2(2)].

Candidates will be subject to admission as outlined in §15.12.1, and to approval by the Faculty of Pharmacy and Pharmaceutical Sciences Admissions Committee. If there are no qualified Aboriginal students in any given year, this position will not be allocated to other applicants.

Aboriginal student applicants should contact the Coordinator, Native Health Care Careers, for individual counselling and career planning. See also §14.1.

## **Occupational Therapy**

### **General Information**

#### Aboriginal Applicants

Two positions in the occupational therapy program are available to applicants of aboriginal **ancestry** as defined in the Constitution Act, 1982, Part II, Section 35(2). Applicants must meet all entrance requirements as specified below. If suitable Aboriginal applicants cannot be found, these positions will be filled by applicants from the general pool.

## **Occupational Therapy**

### **General Information**

#### Aboriginal Applicants

Two positions in the occupational therapy program are available to applicants of aboriginal **identity** as defined in the Constitution Act, 1982, Part II, Section 35(2). Applicants must meet all entrance requirements as specified below. If suitable Aboriginal applicants cannot be found, these positions will be filled by applicants from the general pool.

**OUTLINE OF ISSUE**  
**Action Item**

Agenda Title: **Faculty of Graduate Studies and Research: Proposed revisions to existing Supervision and Examinations policy.**

**Motion:** THAT the GFC Academic Standards Committee recommend to the GFC Executive Committee the proposed revisions to existing Supervision and Examinations policy, as submitted by the Faculty of Graduate Studies and Research and as set forth in Attachment 1, as amended, to take effect July 1, 2018.

**Item**

Action Requested	<input type="checkbox"/> Approval <input checked="" type="checkbox"/> Recommendation
Proposed by	Heather Zwicker, Dean, Faculty of Graduate Studies and Research
Presenter	Deborah Burshtyn, Vice-Dean, Faculty of Graduate Studies and Research

**Details**

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	The revisions are intended to clarify the policies, elaborate on procedures, and improve policies. The impact will be to have greater clarity for students, faculty and staff in the administration and conduct and outcomes of examinations in thesis-based programs.
The Impact of the Proposal is	<p>The conduct of graduate examinations holds extremely high stakes for individual students and presents significant reputational risk for the faculty, program and institution. A major revision the Supervision and Structure of Examining Committees in the Graduate Program Manual was approved by FGSR Council in May 2012. Subsequently in May 2013 the authority for approval of supervisors, supervisory committees, external examiners and examining committees was delegated to the disciplinary department/Faculty of the program and the change to the Calendar governing examinations was approved by FGSR Council October 2013 appearing in the 2014-2015 Calendar. A number of areas have come to light that have caused problems due to apparent contradictions, gaps and/or confusing language. The FGSR Policy Review Committee undertook a comprehensive review of the Supervision and Examination regulations. The resulting proposal addresses the organization and clarity of the policy as well as changes to policy as follow:</p> <ul style="list-style-type: none"> <li>• The chair of doctoral examinations cannot be an examiner to remove issues of bias that have arisen</li> <li>• One supervisor of a supervisory team must meet the employment criteria of a UofA examiner</li> <li>• Size limits for examination committees are set to prevent extraordinarily long examinations in light of current flexibility in supervisory committee composition and the need to fulfill examiner composition balance.</li> <li>• A revamped section on “Conduct of Thesis and Candidacy Exams” was added back to provide consistency across the academy.</li> <li>• Guidance added for outcome of “Conditional Pass” for doctoral candidacy exam to lessen the rates of students not meeting the conditions.</li> </ul>
Replaces/Revises (eg, policies,	Revises Supervision and Examinations policy as found in the FGSR



**FINAL Item No. 6**

resolutions)	section of the Calendar.
Timeline/Implementation Date	Effective July 1, 2018. The changes will be published in the 2018-2019 Calendar.
Estimated Cost and funding source	n/a
Next Steps (ie.: Communications Plan, Implementation plans)	Upon final approval, an email will be sent to all members of FGSR Council that includes all Associate Deans Graduate and Graduate Coordinators of graduate programs, as well as the Graduate Program administrators. There will be internal communication to front end FGSR staff.
Supplementary Notes and context	n/a

**Engagement and Routing** (Include meeting dates)

Participation: (parties who have seen the proposal and in what capacity)  <For further information see the link posted on the <a href="#">Governance Toolkit section Student Participation Protocol</a> >	<u><i>Those who have been informed:</i></u> <ul style="list-style-type: none"> <li>•</li> </ul>
	<u><i>Those who have been consulted:</i></u> <ul style="list-style-type: none"> <li>• Dean and Associate Deans, FGSR</li> <li>• FGSR Program Services staff</li> <li>• Graduate Program Administrators Council (GPAC)</li> <li>• Faculty Graduate Councils (or equivalents)</li> <li>• FGSR Council</li> <li>• Graduate Students Association (GSA)—represented on the PRC (below), also conducted wider consultation with graduate students</li> </ul>
	<u><i>Those who are actively participating:</i></u> <ul style="list-style-type: none"> <li>• FGSR Policy Review Committee (PRC)</li> <li>• Brent Epperson, Graduate Ombudsperson (as a member of PRC)</li> <li>• Graduate Students Association (GSA)—(represented on PRC and FGSR Council)</li> <li>• Vice Dean, FGSR</li> </ul>
Approval Route (Governance) (including meeting dates)	FGSR Council, May 17, 2017, approved ASC-Subcommittee on Standards - June 1, 2017 (for discussion) GFC Academic Standards Committee - June 15, 2017 GFC Executive Committee - September 11, 2017 General Faculties Council - September 25, 2017
Final Approver	General Faculties Council

**Alignment/Compliance**

Alignment with Guiding Documents	For the Public Good Sustain: GOAL: Sustain our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all. 21. OBJECTIVE Encourage continuous improvement in administrative, governance, planning, and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institution as a whole to achieve shared strategic goals.
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**FINAL Item No. 6**

	<p>i. Strategy: Encourage transparency and improve communication across the university through clear consultation and decision-making processes, substantive and timely communication of information, and access to shared, reliable institutional data.</p> <p>ii. Strategy: Ensure that individual and institutional annual review processes align with and support key institutional strategic goals.</p> <p>iii. Strategy: Consolidate unit review and strategic planning processes, and where possible, align with accreditation processes, to ensure efficient assessment practices.</p> <p>iv. Strategy: Facilitate easy access to and use of university services and systems, reduce duplication and complexity, and encourage cross-institutional administrative and operational collaboration.</p>
<p>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)</p>	<p><b>1. Post-Secondary Learning Act (PSLA):</b> “26(1) Subject to the authority of the board of Governors, a general faculties council is responsible for the academic affairs of the university [...]” (3) A general faculties council may delegate any of its powers, duties and functions under this Act”</p> <p><b>2. GFC Academic Standard Committee – terms of reference</b> “B. Admission and Transfer, Academic Standing, Marking and Grading, Term Work, Examinations, International Baccalaureate (IB), Advanced Placement (AP) i. All proposals from the Faculties or the Administration related to admission and transfer, to the academic standing of students, to institutional marking and grading policies and/or procedures and to term work policies and procedures are submitted to the Provost and Vice-President (Academic) (or delegate) who chairs the GFC Academic Standards Committee. ASC will consult as necessary with the Faculties and with other individuals and offices in its consideration of these proposals. “</p> <p><b>3. UAPPOL Academic Standing Policy:</b> “All current academic standing regulations, including academic standing categories, University graduating standards and requirements for all individual programs will be those prescribed by Faculty Councils and GFC as set forth in the University Calendar.”</p> <p><b>4. UAPPOL Academic Standing Regulations Procedures:</b> “All proposed new academic standing regulations and changes to existing academic standing regulations will be submitted by the Faculties or the Administration to the Provost and Vice-President (Academic). Faculties will also submit to the Provost and Vice President (Academic) any proposed changes to the use and/or computation of averages relating to academic standing, including promotion and graduation. If the Provost and Vice-President (Academic) determines the proposal to be in good order, the proposal will be introduced to the appropriate University governance process(es). In considering these proposals, governance bodies will consult as necessary with the Faculties and with other individuals and offices. Normally, changes become effective once they are approved by GFC or its delegate and are published in the University Calendar.”</p>

**FINAL Item No. 6**

	<p><b>5. GFC Executive Committee</b> – terms of reference “GFC has delegated to the Executive Committee the authority to decide which items are placed on a GFC agenda, and the order in which those agenda items appear on each GFC agenda. [...] The role of the Executive Committee shall be to examine and debate the substance of reports or recommendations and to decide if an item is ready to be forwarded to the full governing body”</p>
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Attachments (each to be numbered 1 - <>)

1. Proposal for revision to existing Supervision and Examinations policy; changes to be reflected in the 2018-2019 Calendar (pages 1-25)

*Prepared by:* Janice Hurlburt, Graduate Governance and Policy Coordinator

**2018-2019 University of Alberta Proposed Calendar Graduate Program Changes: Proposal from the Faculty of Graduate Studies and Research regarding policy and process for Supervision and Examinations.**

Current	Proposed
<p><b>Faculty of Graduate Studies and Research</b> [...] <b>Supervision and Examinations</b></p> <p>The minimum requirements for all graduate programs are set by the Council of the Faculty of Graduate Studies and Research of the University of Alberta. In this Calendar the minimum requirements acceptable are outlined under the respective headings. Students should note that the individual graduate program may impose additional requirements.</p> <p><b>Supervision and Supervisory Committees</b></p> <p><b>Departmental Regulations</b></p> <p>Departments are responsible for preparing a set of regulations and guidelines for supervisors and students. Guidelines should deal with the selection and functioning of supervisors and should outline the joint responsibilities of faculty members and graduate students. <b>Avenues of appeal open to students who feel</b> they are receiving unsatisfactory supervision should also be specified.</p> <p><b>Appointment of the Supervisor(s)</b></p> <p>Every student in a thesis-based program is required to have a supervisor. The department that admits a student to a thesis-based graduate program is responsible for providing supervision within a subject area in which it has competent supervisors, and in which the student has expressed an interest.</p> <p>Normally there is only one supervisor. Departments may consider the appointment of more than one supervisor for a student.</p> <p>Implicit in the admission process is the following: on the applicant's part, that there has been an indication of at</p>	<p><b>Faculty of Graduate Studies and Research</b> [...] <b>Supervision and Examinations</b></p> <p>The minimum requirements for all graduate programs are set by the Council of the Faculty of Graduate Studies and Research of the University of Alberta. In this Calendar the minimum requirements acceptable are outlined under the respective headings. Students should note that the individual graduate program may impose additional requirements.</p> <p><b>Supervision and Supervisory Committees</b></p> <p><b>Departmental Regulations <b>and Responsibilities</b></b></p> <p>Departments are responsible for preparing a set of regulations and guidelines for supervisors and students. Guidelines should deal with the selection and functioning of supervisors and should outline the joint responsibilities of faculty members and graduate students. <b>Options for students to pursue who believe</b> they are receiving unsatisfactory supervision should also be specified.</p> <p><b>Appointment of the Supervisor(s)</b></p> <p>Every student in a thesis-based program is required to have a supervisor. The department that admits a student to a thesis-based graduate program is responsible for providing supervision within a subject area in which it has competent supervisors, and in which the student has expressed an interest.</p> <p>Normally there is only one supervisor. Departments may consider the appointment of more than one supervisor for a student.</p> <p>Implicit in the admission process is the following: on the applicant's part, that there has been an indication of at</p>



Each of the following criteria must be met by at least one of the supervisor(s):

1. be a tenured, tenure-track, or retired faculty member, or a Faculty Service Officer, of the University of Alberta (current or retired categories A1.1, A1.3, or current category C1.1, as defined in the University's Recruitment Policy (Appendix A) Definition and Categories of Academic Staff and Colleagues);
2. be active in the general subject area of the student's research;
3. demonstrate continuing scholarly or creative activity of an original nature; and
4. either hold a degree equivalent to or higher than that for which the student is a candidate, or have a demonstrated record of successfully supervising students for the degree.

If one of conditions (1)-(4) is not satisfied by any of the proposed supervisors, then a departmental justification (with the proposed supervisors' CV) is put forward to the Dean of the department's Faculty for approval.

For supervisors from outside the University of Alberta, working with a supervisor at the University of Alberta, there should be an indication of the means by which meaningful interaction can be maintained.

### **Time Line for the Appointment of Supervisors and Introductory Meetings**

Ideally, the supervisor for a thesis-based student, both master's and doctoral, should be appointed as soon as the student arrives to begin their program of studies. If this is not possible, an interim academic advisor may be appointed by the department. Supervisor(s) must be appointed within the first 12 months of the student's program following the procedures approved by the Dean of the department's Faculty.

Every department must develop a list of topics that will be covered during the introductory meetings between a supervisor and a graduate student. These meetings should be held during the term in which a supervisor is first appointed. Topics likely to be listed include program requirements, academic integrity requirements, the role of the supervisor, the preferred means of communication, the availability or non-availability of funding, and scholarly practices and outputs.

Each of the following criteria must be met by at least one of the supervisor(s):

1. be a tenured, tenure-track, or retired faculty member, or a Faculty Service Officer, of the University of Alberta (current or retired categories A1.1, A1.3, or current category C1.1, as defined in the University's Recruitment Policy (Appendix A) Definition and Categories of Academic Staff and Colleagues);
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4. either hold a degree equivalent to or higher than that for which the student is a candidate, or have a demonstrated record of successfully supervising students for the degree.

If one of conditions (2)-(4) is not satisfied by any of the proposed supervisors, then a departmental justification (with the proposed supervisors' CV) is put forward to the Dean of the department's Faculty for approval.

For supervisors from outside the University of Alberta, working with a supervisor at the University of Alberta, the means by which meaningful interaction can be maintained should be specified in writing to the student and the department.

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### **Introductory Meetings**

Every department must develop a list of topics that will be covered during the introductory meetings between a supervisor and a graduate student. These meetings should be held during the term in which a supervisor is first appointed. Topics likely to be listed include program requirements, academic integrity requirements, the role of the supervisor, the composition of the supervisory committee, the preferred means of communication, the availability of funding, and scholarly practices and outputs.

[Moved from just before The Roles and Structure of Examining Committees ]

### **Resolving Conflicts in Supervisor-Student Relationships**

The relationship between students and supervisors is normally close and long-lasting. At times, conflicts may arise between a student and the supervisor. In such cases, the first step **must** be to try to resolve the misunderstanding or conflict informally. This is more likely to be successful if attended to as early as possible. The supervisor and student should discuss the problem together. The supervisor should document the discussions and keep a record of any agreements made. This document should be shared with the student. In the event of a conflict that cannot be resolved, the graduate coordinator should be consulted as early as possible by the parties involved.

It is the responsibility of the graduate coordinator to arrange for consultation and mediation. The graduate coordinator or the parties involved may request advice and/or mediation assistance from their Faculty, the FGSR, and/or other appropriate services, such as the Student Ombudservice. The student and supervisors shall not be required to participate in informal resolution.

If informal resolution is unsuccessful or inappropriate, and the graduate coordinator determines that the supervisor-student relationship is beyond repair, the department will attempt in good faith to work with the student to find alternative supervision within the department, and inform the FGSR of these efforts in writing.

Where the supervisor has been providing funding to the student, the funding should continue for a period of at least 30 days from the date on which the graduate coordinator determines that the supervisor-student relationship is beyond repair.

If the best arrangements of the department and the FGSR fail to meet the expectations of the student, the student may choose to withdraw without prejudice. If the student refuses to accept the supervision provided, or if no supervision can be secured, then the student is not fulfilling the academic requirement of having a supervisor and may, on academic grounds, be required to withdraw.

### **Resolving Conflicts in Supervisor-Student Relationships**

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## Supervisory Committees

### Thesis-based master's students

Every thesis-based master's student must have a supervisor. It is not a University requirement for master's students to have a supervisory committee; however, some graduate programs may require them. As ex-officio members of the master's final examining committee, departments should ensure that the members of the supervisory committee meet the eligibility criteria as examiners.

### Doctoral students

Every doctoral student's program shall be under the direction of a supervisory committee approved by the department. A doctoral supervisory committee must have at least three members, and must include all the supervisors. As ex-officio members of the candidacy and the doctoral final examining committees, all members of the supervisory committee must meet the eligibility criteria for examiners.

[moved from below]

The supervisory committee is chaired by one of the supervisors.

Compliance with the [University of Alberta's Conflict Policy](#) - Conflict of Interest and Commitment, and Institutional Conflict - is mandatory.

The committee will arrange for the necessary examinations and for adjudication of the thesis. The committee shall have a formal regular meeting with the student at least once a year.

The department should ensure that the members of a supervisory committee are sufficiently competent and experienced to serve at the required level. In forming a

## Supervisory Committees

### Thesis-based master's students

It is not a University requirement for master's students to have a supervisory committee; however, some graduate programs require them. If required by the program, the supervisory committee members are ex-officio members of the master's final examining committee. Attention should be paid to the qualifications of the committee members as examiners to ensure the composition and size of the examination committee will be appropriate.

### Doctoral students

Every doctoral student's program shall be under the direction of a supervisory committee approved by the department.

A doctoral supervisory committee must have at least three members, and must include all the supervisors.

The department should ensure that the members of a supervisory committee are sufficiently competent and experienced to serve at the required level. In forming a supervisory committee, the department should consider the rank and experience of the prospective members, their publications and other demonstrations of competence in the subject area or field of specialization, and the prospective members' experience in graduate supervision.

Attention should be paid to the qualifications of the committee members as examiners to ensure the composition of the examination committee will be appropriate as they are ex-officio members of doctoral examining committees.

The supervisory committee is chaired by one of the supervisors.

Compliance with the [University of Alberta's Conflict Policy](#) - Conflict of Interest and Commitment, and Institutional Conflict - is mandatory.

The supervisor is responsible for ensuring committee meetings are held and making arrangements. The committee shall have a formal regular meeting with the student at least once a year. The department should maintain a record of meetings that have occurred and when students who are not on an approved leave fail to respond to requests to schedule a committee meeting.

[Moved above]



supervisory committee, the department should consider the rank and experience of the prospective members, their publications and other demonstrations of competence in the subject area or field of specialization, and the prospective members' experience in graduate supervision.

For doctoral students, the department shall appoint the supervisory committee well in advance of the candidacy examination.

### **Resolving Conflicts in Supervisor-Student Relationships**

The relationship between students and supervisors is normally close and long-lasting. At times, conflicts may arise between a student and the supervisor. In such cases, the first step must be to try to resolve the conflict or misunderstanding informally. This is more likely to be successful if attended to as early as possible. The supervisor and student should discuss the problem together. The supervisor should document the discussions and keep a record of any agreements made. In the event of a conflict the graduate coordinator should be notified as early as possible.

It is the responsibility of the graduate coordinator to arrange for consultation and mediation. The graduate coordinator or the parties involved may request advice and/or mediation assistance from their Faculty, the FGSR, and/or other appropriate services, such as the Student Ombudservice. The student and supervisors shall not be required to participate in informal resolution against their wishes if either party's behaviour towards the other warrants a complaint under the Code of Student Behaviour, the Discrimination and Harassment Policy, or other University policy.

If informal resolution is unsuccessful or inappropriate, and the graduate coordinator determines that the supervisor-student relationship is beyond repair, the department will attempt in good faith to work with the student to find alternative supervision within the department, and will keep the FGSR apprised of these efforts.

Where the supervisor has been providing funding to the student, the funding should continue for a period of at least 30 days from the date on which the graduate coordinator determines that the supervisor-student relationship is beyond repair.

If the best arrangements of the department and the FGSR fail to meet the expectations of the student, the student may choose to withdraw without prejudice. If the student refuses to accept the supervision provided, or if no

For doctoral students, the department shall appoint the supervisory committee well in advance of the candidacy examination.

[Moved above to just before Supervisory Committees]

supervision can be secured, then the student is not fulfilling the academic requirement of having a supervisor and may, on academic grounds, be required to withdraw.

## The Structure of Examining Committees

Formal examining committees are required for thesis-based master's final examination, doctoral candidacy examinations, and doctoral final examinations. Members of these examining committees perform two functions: 1) they bring disciplinary knowledge and expertise to the assessment of the thesis, and 2) they ensure that the University's expectations are met regarding the conduct of the examination, adherence to all relevant policies, and the suitability of the thesis for the degree.

### The Chair

Every examining committee must have a chair who is not a supervisor but is a member of the student's home department. The chair should have sufficient experience of graduate examinations to be able to allow the examination to be conducted in a fair manner, and is responsible for moderating the discussion and directing questions. It is the chair's responsibility to ensure that departmental and FGSR regulations relating to the final examination are followed. If the chair is not an examiner, then the chair does not vote.

The FGSR encourages, and for doctoral examinations strongly recommends, that committee chairs not be examiners.

### Examiners

Examiners are full voting members of the examining committee. With the exception of the Dean, FGSR, the Dean of the department's Faculty, or a Pro Dean (Dean's representative), who may participate fully in the examination, persons other than the examiners may attend only with the prior approval of the Dean, FGSR, the Dean of the department's Faculty, or the chair of the examining committee. With the possible exception of the Pro Deans, all examiners must be either active in the general subject area of the student's research, or bring relevant expertise to the assessment of the thesis.

## The Role and Structure of Examining Committees

Formal examining committees are required for thesis-based master's final examination, doctoral candidacy examinations, and doctoral final examinations. Members of these examining committees perform two functions: 1) they bring knowledge and expertise to the assessment of the thesis, and 2) they ensure that the University's expectations are met regarding the conduct of the examination, adherence to all relevant policies, and the suitability of the thesis for the degree.

### The Chair

Every examining committee must have a chair who is not the supervisor and is a faculty member with experience supervising graduate students. The chair should have sufficient experience of graduate examinations to be able to allow the examination to be conducted in a fair manner. The chair is responsible for moderating the discussion and directing questions. It is the chair's responsibility to ensure that departmental and FGSR regulations relating to the final examination are followed. If the chair is not an examiner, then the chair does not vote.

The committee chair is not an examiner for doctoral examinations. See Size and Composition of Examining Committees for the requirements for each examination.

The chair should not have real or apparent conflict of interest with the student or any of the examiners.

### Examiners

Examiners are full voting members of the examining committee. All examiners must be either active in the general subject area of the student's research or bring relevant expertise to the assessment of the thesis. [Deleted sentences already found under Attendance at Examinations, below]

## Categories of Examiners and Eligibility

There are four types of examiners: ex-officio examiner, arm's length examiner, University of Alberta examiner and External examiner.

### Ex-officio Examiners

The supervisor(s) and, for doctoral students, the other

### **Arm's Length Examiners**

An arm's length examiner must not be (or have been) a member of the supervisory committee, or have been connected with the thesis research in a significant way.

The examiner should not have been associated with the student, outside of usual contact in courses or other non-thesis activities within the University, nor be related to the student or supervisor(s).

Except in special circumstances (fully justified in writing to the Dean of the department's Faculty), an arm's length examiner should not be a close collaborator of the supervisor(s) **within the last six years.**

Arm's length examiners who have served on a student's candidacy examination committee do not lose their arm's length status as a result, and are eligible to serve as arm's length examiners on the student's doctoral final examination if the other conditions of being arm's length remain unchanged.

**In the case of a doctoral final examination, the required External (i.e., the arm's length examiner from outside the University of Alberta) is, by definition, an arm's length examiner.**

**Every examining committee requires a minimum number of arm's length examiners: At least one for a master's final examination, at least two for a candidacy examination, and at least two for a doctoral final examination.**

**Compliance with the University of Alberta's Conflict Policy – Conflict of Interest and Commitment, and Institutional Conflict is mandatory.**

### **Ex-Officio Examiners**

The supervisor(s), and, for doctoral students, the other members of the student's supervisory committee, are ex-officio members of the examining committee.

[Moved from below]

**members of the student's supervisory committee are ex-officio members of the examining committee.**

**By definition, no individual can be both an ex-officio and an arm's length examiner on the same examining committee.**

### **Arm's Length Examiners**

An arm's length examiner **is knowledgeable in the field and comes fresh to the examination.** They must not be (or have been) a member of the supervisory committee, or have been connected with the thesis research in a significant way. The examiner should not have been associated with the student, outside of usual contact in courses or other non-thesis activities within the University, nor be related to the student or supervisor(s).

**The arm's length examiners should not be a former supervisor or student of the supervisor(s).**

Except in special circumstances (fully justified in writing to the Dean of the department's Faculty), an arm's length examiner should not be an **active** collaborator of the supervisor(s) **(see Conflict of Interest Guidelines, below)**

Arm's length examiners who have served on a student's candidacy examination committee do not lose their arm's length status as a result, and are eligible to serve as arm's length examiners on the student's doctoral final examination if the other conditions of being arm's length remain unchanged.

### **External Examiner**

An external examiner from outside the University of Alberta is required for doctoral thesis examinations. In addition to being an arm's length examiner this examiner must fulfill additional criteria as described under "Final Doctoral Examination ... Inviting the External Examiner or Reader" in the Calendar.

[Moved above]

### **University of Alberta Examiners**

The University of Alberta examiner is a tenured, tenure-

[Restored from earlier Calendar wording and revised]

### **Minimum Membership Requirements for Examining Committees**

At least half of the examiners on every examining committee must have a degree which is equivalent to, or higher than, the degree being examined.

At least half of the examiners on every examining committee must be tenured, tenure-track, or retired University of Alberta faculty members, or Faculty Service Officers, (current or retired categories A1.1, A1.3, or current category C1.1, as defined in the University of Alberta's Recruitment Policy (Appendix A) Definition and Categories of Academic Staff and Colleagues).

### **Minimum Size of an Examining Committee**

By definition, no individual can be both an arm's length examiner and an ex-officio examiner on the same examining committee.

The minimum size of a master's final examining committee is three. This minimum size condition is automatically met except when the student has one supervisor, no supervisory committee, and there is only one arm's length examiner on the examining committee. In this case, the examining committee requires at least one more examiner.

track, or retired University of Alberta faculty member, or Faculty Service Officer, (current or retired categories A1.1, A1.3, or current category C1.1, as defined in the University of Alberta's Recruitment Policy (Appendix A) Definition and Categories of Academic Staff and Colleagues).

### **Conflict of Interest Guidelines for Supervisory and Examination Committees**

The key relationships are: the supervisor to the student; the supervisor to the other committee members; and the student to the committee members. There must be no conflict of interest in these relationships, as defined by the University of Alberta policy. Any personal or professional relationships that alter or affect this academic relationship may constitute a conflict-of-interest.

It is a best practice to request examiners and the chair declare any potential conflicts of interest prior to approval of the examination committee. Where potential conflicts-of-interest emerge, the matter may be referred to an Associate Dean at FGSR for advice on how to best manage unavoidable conflicts of interest.

### **Size and Composition of Examining Committees**

For all examination committees, at least half of the examiners must have a degree equivalent to or higher than the degree being examined.

For all examination committees, at least half of the examiners must fulfill the criteria as a University of Alberta examiner as tenured, tenure-track, or retired University of Alberta faculty members, or Faculty Service Officers (see above under Categories of Examiners and Eligibility).

[Moved above under Categories of Examiners and Eligibility]

### **Master's Thesis Examination Committee**

- The minimum size of a master's final examining committee is three. The maximum size is five.
- The ex officio members of the committee are the supervisor(s) and the supervisory committee members if there is a committee.
- There must be one arm's length examiner.
- At least half of the examiners must hold a master's degree or higher (see above).
- At least half of the examiners must fulfill the

[Moved here from The Appointment of the Supervisor(s)]

For doctoral candidacy and doctoral final examinations, the minimum size of the examining committee is five.

[Moved here from The Appointment of the Supervisor(s)]

criteria of University of Alberta examiner (see above)

- The chair is not the supervisor. The chair is a faculty member in the student's home department or with experience chairing master's examinations. The FGSR recommends that committee chairs not be examiners except in extenuating circumstances where any conflict of interest in this role be managed transparently for the student.

The authority for the appointment of final examining committees rests with the Dean of the department's Faculty [unless delegated to the department].

#### **Doctoral Candidacy Examination Committee**

- The minimum size of a doctoral candidacy committee is five. The maximum size is seven.
- The ex officio members of the committee are the supervisor(s) and the supervisory committee members.
- There must be two arm's length examiners.
- At least half or more of the examiners must hold a doctoral degree or higher (see above).
- At least half of the examiners must fulfill the criteria of University of Alberta examiner (see above)
- The chair is not an examiner. The chair is a faculty member in the student's home department or with experience chairing doctoral examinations

The authority for the appointment of doctoral candidacy examining committees rests with the department.

#### **Doctoral Thesis Examination Committee**

- The minimum size of a doctoral final examining committee is five. The maximum size is seven.
- The ex officio members of the committee are the supervisor(s) and the supervisory committee members.
- There must be two arm's length examiners, one of whom must be a reader or examiner external to the University
- At least half of the examiners must hold a doctoral degree or higher (see above).
- At least half of the examiners must fulfill the criteria of University of Alberta examiner (see above)
- The chair is not an examiner. The chair is a faculty member in the student's home department or with experience chairing doctoral examinations.

The authority for the appointment of final examining

[Moved here from The Appointment of the Supervisor(s)]

## Conduct of Examinations

### Common Examination Protocols

**Attendance at Examinations:** In the absence of unforeseen circumstances, it is essential that all examiners attend the entire examination. Attendance means participation in the examination either in person or via Teleconferencing (see below). The only exception allowed is the External Reader for a doctoral final examination, who participates by providing a detailed report and a list of questions.

If the department has warning that any member of the examining committee cannot attend the examination, the department should contact the Dean of the FGSR for advice. The situation will be dealt with on a case-by-case basis, but it may be necessary that the examination be postponed and rescheduled, or the examiner be replaced.

Except for the Dean, FGSR, the Dean of the department's Faculty, or a Pro Dean (the representative of the Dean, FGSR), who may participate fully in the examination, persons other than the examiners may attend only with the approval of the Dean, FGSR, the Dean of the department's Faculty, or the chair of the committee.

**Attendance and Responsibilities of a Pro Dean at Examinations:** A Pro Dean is a full voting member when attending an examination. The Pro Dean's presence is in addition to the regular membership. Attendance of the Pro Dean may be at the request of a committee member, student, chair, graduate coordinator, the Dean of the department's Faculty, or the Dean, FGSR.

The Pro Dean's role is to ensure the proper conduct of the examination and will intercede actively to correct procedural problems. The Pro Dean has the power to adjourn an examination. If problems are encountered, the Pro Dean is asked to submit a brief report to the Dean, FGSR.

**Teleconferencing Guidelines for Examinations:** The term 'teleconferencing' is used here generically to include all forms of distance conference facilitation including telephone, video and electronic communication. Departments may wish to use teleconferencing for one or more of the examiners (including the External). It is recommended that no more than two participants use teleconferencing. Teleconferencing may be used for master's or doctoral examinations. Examiners participating in examinations by this means are considered to be in attendance.

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The Dean, FGSR, the Dean of the department's Faculty, or a Pro Dean (the representative of the Dean, FGSR) may participate fully in the examination. Persons other than the examiners may attend only with the approval of the Dean, FGSR, the Dean of the department's Faculty, or the chair of the committee.

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The Pro Dean's role is to ensure the proper conduct of the examination and will intercede actively to correct procedural problems. The Pro Dean has the power to adjourn an examination. If problems are encountered, the Pro Dean is asked to submit a brief report to the Dean, FGSR.

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Students must attend their candidacy examinations in person. In exceptional circumstances, for the final examinations, students may participate by teleconferencing. It is recommended that if the student is the remote participant, no remote committee members be used.

Use of teleconferencing must be submitted for approval to the Dean of the department's Faculty at the time the examination committee is approved, following the Faculty's established procedures.

**Timelines and Approval of the Examining Committee:**

It is the responsibility of the department to nominate the members of the examining committee following the procedures established by the Dean of the department's Faculty using the Forms available on the FGSR website. The notice of final approval must be received by the FGSR at least two weeks in advance of the examination to be coded into the system.

**Scheduling of Examinations:** It is the responsibility of the supervisor(s) to ensure that:

1. proper arrangements are made for the student's examination,
2. the exam is scheduled and held in accordance with FGSR and departmental regulations,
3. committee members are informed of meetings and details of examinations
4. the student does not make these arrangements,
5. the student provides copies of the thesis (master's and doctoral final examination) to the examiners at least three weeks before the examination. Note that the External for a doctoral final examination must receive a copy of the thesis at least four weeks before the examination.

In the absence of the supervisor, the department's graduate coordinator or designate shall be responsible for these arrangements.

**Changing an Examining Committee Member:** Changes to the membership of the Examining Committee must occur following the procedures established by the Dean of the department's Faculty.

**Language of Examinations:** The language used to conduct examinations shall be English, except where already approved by the FGSR Council. However, the examining committee may petition the Dean of the FGSR, and on receiving written approval, may conduct the examination in a language other than English.

Students must attend their candidacy examinations in person. In exceptional circumstances, for the final examinations, students may participate by teleconferencing. It is recommended that if the student is the remote participant, no remote committee members be used.

Use of teleconferencing must be submitted for approval to the Dean of the department's Faculty at the time the examination committee is approved, following the Faculty's established procedures.

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**Scheduling of Examinations:** It is the responsibility of the supervisor(s) to ensure that:

1. proper arrangements are made for the student's examination,
2. the exam is scheduled and held in accordance with FGSR and departmental regulations,
3. committee members are informed of meetings and details of examinations
4. the student does not make these arrangements,
5. the student provides a copy of the thesis (master's and doctoral final examination) to the individual delegated by the program to distribute the thesis to the examiners (ex. chair of the examination, program administrator, supervisor). The supervisor is responsible for ensuring that all examiners receive the thesis in a timely way. All examiners for a doctoral final examination must receive a copy of the thesis at least four weeks before the examination.

In the absence of the supervisor, the department's graduate coordinator or designate shall be responsible for these arrangements.

**Changing an Examining Committee Member:** Changes to the membership of the Examining Committee must follow the procedures established by the Dean of the department's Faculty.

**Language of Examinations:** The language used to conduct examinations shall be English, except where already approved by the FGSR Council. However, the examining committee may petition the Dean of the FGSR, and on receiving written approval, may conduct the examination in a language other than English.

**Time Limit for Submission of Theses to FGSR:**

Following completion of the final examination at which the thesis is passed or passed subject to revisions, the student shall make the appropriate revisions where necessary and submit the approved thesis to the FGSR within six months of the date of the final examination. Departments may impose earlier deadlines for submitting revisions.

If the thesis is not submitted to the FGSR within the six-month time limit, the student will be considered to have withdrawn from the program. After this time, the student must apply and be readmitted to the FGSR and register again before the thesis can be accepted. If the final examination is adjourned, the six-month time limit will take effect from the date of completion of the examination where the thesis was passed with or without revisions. In order to convocate, all thesis-based students must submit their thesis to the FGSR and have it approved before they can be cleared for convocation. The thesis cannot be approved without a valid student registration at the time of approval.

**Time Limit for Submission of Theses to FGSR:**

Following completion of the final examination at which the thesis is passed or passed subject to revisions, the student shall make any necessary revisions and submit the approved thesis to the FGSR within six months of the date of the final examination. Departments may impose earlier deadlines for submitting revisions.

If the thesis is not submitted to the FGSR within the six-month time limit, the student will be considered to have withdrawn from the program. After this time, the student must apply and be readmitted to the FGSR and register again before the thesis can be accepted. If the final examination is adjourned, the six-month time limit will take effect from the date of completion of the examination where the thesis was passed with or without revisions. In order to convocate, all thesis-based students must submit their thesis to the FGSR and have it approved before they can be cleared for convocation. The thesis cannot be approved without a valid student registration at the time of approval.

**Conduct of Thesis and Candidacy Examinations**

The following apply to all examinations. Matters specific to each type of examination are detailed in the sections that follow. Programs may have additional regulations in their program guidelines.

- The student may be required to give a presentation prior to the examination. The presentation may be public or only for the examining committee (and others approved to attend the examination—see Attendance at Doctoral Examinations, above).
- If a public seminar is held before the examination, typically the examiners do not ask questions until the examination itself begins.
- At the start of the examination the chair should review the procedures as detailed by the program's guidelines for the examination including the order of examiners, number of rounds of questions, the length of time allotted to each examiner and whether interjections by other examiners are permitted. Departmental examination procedures should have flexibility to adjust accordingly when there are large supervisory committees so as not to extend the questioning portion of the examination beyond a reasonable duration (2 hours for master's and 3 hours for doctoral examinations).
- The student may be asked to leave the room while the order of examiners is determined, and the student's academic record is reviewed by the supervisor for the committee. Typically the order of examiners is the External if applicable, the arm's length examiners, the supervisory committee members and then the supervisor. The Examiners may seek clarification at



<p><b>Thesis Based Master’s Program Examination</b></p> <p><b>Decision of the Master’s Final Examining Committee:</b>  The decision of the examining committee will be based both on the content of the thesis and on the student’s ability to defend it. The final examination may result in one of the following outcomes:</p> <ul style="list-style-type: none"> <li>• Adjourned</li> <li>• Pass</li> <li>• Pass subject to revisions</li> <li>• Fail</li> </ul> <p>There is no provision for a final examination to be “passed subject to major revisions”.</p>	<p><u>this time regarding exam procedures.</u></p> <ul style="list-style-type: none"> <li>• <u>If academic misconduct is suspected, an Associate Dean, FGSR should be consulted prior to the exam.</u></li> <li>• <u>For thesis examinations the questioning should focus on establishing the quality of the thesis [or thesis substitute] and the student’s breadth and depth of understanding at a level appropriate to the degree qualification. Expectations for a Candidacy examination are detailed in the program’s guidelines.</u></li> <li>• <u>When the questions have concluded, the chair should ask the student if they have any final comments they would like to add.</u></li> </ul> <p><b>Deliberation:</b></p> <ul style="list-style-type: none"> <li>• <u>The student is required to leave the room and will be asked to take their personal belongings including electronic devices with them.</u></li> <li>• <u>The deliberations are confidential proceedings. The committee will agree on the report to be provided to the student with the outcome of the examination.</u></li> <li>• <u>The examiners are asked to give their opinions on the quality of the thesis and the defense, or performance in the candidacy examination, in the same order as questioning occurred. All examiners must provide their opinion before a final decision is made.</u></li> <li>• <u>The options of the outcomes from the vote are detailed for each type of examination.</u></li> <li>• <u>If the outcome of the first vote does not result in a decision (eg. two of five examiners vote to fail), the chair will allow for further discussion and attempt to reach a decision. Only in cases where a decision cannot be reached in a reasonable time will the student be informed and matter referred to the Dean FGSR, who will determine the appropriate course of action.</u></li> <li>• <u>The chair of the Examination Committee may sign the thesis examination form on behalf of an examiner who is participating from a remote location.</u></li> </ul> <p><b>Thesis Based Master’s Program Examination</b>  <u>Each department offering a thesis-based Master’s degree is required to establish detailed examination procedures for final examinations. These procedures must be made available publicly.</u></p> <p><b>Decision of the Master’s Final Examining Committee:</b>  The decision of the examining committee will be based both on the content of the thesis and on the student’s ability to defend it. The final examination may result in one of the following outcomes:</p> <ul style="list-style-type: none"> <li>• Adjourned</li> <li>• Pass</li> <li>• Pass subject to revisions</li> <li>• Fail</li> </ul> <p>There is no provision for a final examination to be “passed subject to major revisions”.</p>
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If the Examining Committee fails to reach a decision, the department will refer the matter to the Dean, FGSR, who will determine an appropriate course of action.

**Adjourned:** An adjourned examination is one that has been abandoned officially. A majority of examiners must agree to an outcome of Adjourned. The final examination should be adjourned in the following situations:

- The revisions to the thesis are sufficiently substantial that it will require further research or experimentation or major reworking of sections, or if the committee is so dissatisfied with the general presentation of the thesis that it will require a reconvening of the examining committee. In such circumstances the committee cannot pass the student, and must adjourn the examination.
- The committee is dissatisfied with the student's oral presentation and defence of the thesis, even if the thesis itself is acceptable with or without minor revisions.
- Compelling, extraordinary circumstances such as a sudden medical emergency taking place during the examination.
- Discovery of possible offences under the Code of Student Behaviour after the examination has started.

If the examination is adjourned, the committee should:

- Specify in writing to the student, with as much precision as possible, the nature of the deficiencies and, in the case of revisions to the thesis, the extent of the revisions required. Where the oral defence is unsatisfactory, it may be necessary to arrange some discussion periods with the student prior to reconvening the examination.
- Decide upon a date to reconvene. If the date of the reconvened examination depends upon the completion of a research task or a series of discussions, it should be made clear which committee members will decide on the appropriate date to reconvene. This new examination must be held within six months of the initial examination.
- Make it clear to the student what will be required by way of approval before the examination is reconvened (e.g., approval of the committee chair or supervisor, approval of the entire committee, or of select members of the committee).
- Specify the supervision and assistance the student may expect from the committee members in meeting the necessary revisions.
- Advise the Dean, FGSR, in writing of the adjournment and the conditions.
- When the date is set for the adjourned final examination, the department will notify the FGSR. Normally a Pro Dean attends the examination.

**Pass:** All or all but one of the examiners must agree to an outcome of Pass. If the student passes the examination,

If the Examining Committee fails to reach a decision, the department will refer the matter to the Dean, FGSR, who will determine an appropriate course of action.

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- Make it clear to the student what will be required by way of approval before the examination is reconvened (e.g., approval of the committee chair or supervisor, approval of the entire committee, or of select members of the committee).
- Specify the supervision and assistance the student may expect from the committee members in meeting the necessary revisions.
- Advise the Dean, FGSR, in writing of the adjournment and the conditions.
- When the date is set for the adjourned final examination, the department will notify the FGSR. Normally a Pro Dean attends the examination. **The Pro Dean should be included on all correspondence for the rescheduling of the examination.**

**Pass:** **Pass is the decision given when the only revisions required are typographical or minor editorial changes.** All

the department should submit a completed Thesis Approval/Program Completion form to the FGSR. If one of the examiners fails the student, that examiner does not have to sign this form.

**Pass subject to revisions:** All or all but one of the examiners must agree to an outcome of Pass subject to revisions. The student has satisfactorily defended the thesis but the revisions to the thesis are sufficiently minor that it will not require a reconvening of the examining committee.

If the examining committee agrees to a “Pass subject to revisions” for the student, the chair of the examining committee must provide in writing, within five working days of the examination, to the Dean, FGSR, the graduate coordinator and the student:

- the reasons for this outcome,
- the details of the required revisions,
- the approval mechanism for meeting the requirement for revisions (e.g., approval of the examining committee chair or supervisor, or approval of the entire examining committee, or select members of the committee), and
- the supervision and assistance the student can expect to receive from committee members.

The student must make the revisions within six months of the date of the final examination. Once the required revisions have been made and approved, the department shall submit a completed Thesis Approval/Program Completion form to the FGSR indicating “pass subject to revisions”. If one of the examiners fails the student that examiner does not have to sign the form. If the required revisions have not been made and approved by the end of the six months deadline, the outcome of the examination is a Fail.

**Fail:** All or all but one of the examiners must agree to an outcome of Fail. If the examination result is a Fail, no member of the examining committee signs the Thesis Approval/Completion form.

When the outcome is a Fail, the committee chair will provide the reasons for this decision to the department. The department will then provide this report, together with its recommendation for the student’s program, to the Dean, FGSR, and to the student.

An Associate Dean, FGSR will normally arrange to meet with the student, the graduate coordinator, and others if needed, before acting upon any departmental recommendation that affects the student’s academic standing.

### Doctoral Candidacy Examination

or all but one of the examiners must agree to an outcome of Pass. If the student passes the examination, the department should submit a completed Thesis Approval/Program Completion form to the FGSR. If one of the examiners fails the student, that examiner does not have to sign this form.

**Pass subject to revisions:** All or all but one of the examiners must agree to an outcome of Pass subject to revisions. The student has satisfactorily defended the thesis but the revisions to the thesis it will not require a reconvening of the examining committee.

If the examining committee agrees to a “Pass subject to revisions” for the student, the chair of the examining committee must provide in writing, within five working days of the examination, to the student, the graduate coordinator, and FGSR:

- the reasons for this outcome,
- the details of the required revisions,
- the approval mechanism for meeting the requirement for revisions (e.g., approval of the examining committee chair or supervisor, or approval of the entire examining committee, or select members of the committee), and
- the supervision and assistance the student can expect to receive from committee members.

The student must make the revisions within six months of the date of the final examination. Once the required revisions have been made and approved, the department shall submit a completed Thesis Approval/Program Completion form to the FGSR indicating the committee decision was “pass subject to revisions”. If one of the examiners fails the student that examiner does not have to sign the form. If the required revisions have not been made and approved by the end of the six months deadline, the student will be required to withdraw.

**Fail:** All or all but one of the examiners must agree to an outcome of Fail. If the examination result is a Fail, no member of the examining committee signs the Thesis Approval/Completion form.

When the outcome is a Fail, the committee chair will provide the reasons for this decision to the department. The department will then provide this report, together with its recommendation for the student’s program, to the Dean, FGSR, and to the student.

An Associate Dean, FGSR will normally arrange to meet with the student, the graduate coordinator, and others if needed, before acting upon any departmental recommendation that affects the student’s academic standing.

### Doctoral Candidacy Examination

**Establishing Candidacy Examination Procedures:** Each department offering a doctoral degree is responsible for establishing detailed examination policies and procedures for the candidacy examination. These documents should be publicly available.

The candidacy examination is an oral examination; some departments may also require that students take comprehensive written examinations prior to the candidacy examination, but such examinations do not form part of the candidacy examination itself.

For candidacy examinations, students must demonstrate to the satisfaction of the examining committee that they possess:

1. an adequate knowledge of the discipline and of the subject matter relevant to the thesis;
2. the ability to pursue and complete original research at an advanced level; and
3. the ability to meet any other requirements found in the department's published policy on candidacy examinations.

The candidacy examination must be held within three years of the commencement of the program in accordance with The Degree of PhD of the University Calendar. The candidacy examination must be passed no less than six months prior to taking the final examination.

**Decision of the Candidacy Committee:** The candidacy examination may result in one of the following outcomes:

- Adjourned
- Pass
- Conditional pass
- Fail and repeat the candidacy
- Fail with a recommendation to terminate the doctoral program or for a change of category to a master's program. If the Examining Committee fails to reach a decision, the department will refer the matter to the Dean, FGSR, who will determine an appropriate course of action.

**Adjourned:** A majority of examiners must agree to an outcome of Adjourned. The candidacy examination should be adjourned in the event of compelling, extraordinary circumstances such as a sudden medical emergency taking place during the examination or possible offences under the Code of Student Behaviour after the examination has started.

**Pass:** All or all but one of the examiners must agree to an outcome of Pass. If the student passes the candidacy examination, the department should complete the Report of Completion of Candidacy Examination form and submit

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**When the decision is Conditional Pass or Fail, chairs may refer to the decision process flowchart found on the FGSR website.**

**Adjourned:** A majority of examiners must agree to an outcome of Adjourned. The candidacy examination should be adjourned in the event of compelling, extraordinary circumstances such as a sudden medical emergency taking place during the examination or possible offences under the Code of Student Behaviour after the examination has started.

**Pass:** All or all but one of the examiners must agree to an outcome of Pass. If the student passes the candidacy examination, the department should complete the Report of Completion of Candidacy Examination form and submit

it to the FGSR.

**Conditional Pass:**

A majority of examiners must agree to an outcome of Conditional Pass. If the candidacy examining committee agrees to a conditional pass for the student, the chair of the examining committee will provide in writing within five working days to the Dean, FGSR, the graduate coordinator and the student:

- the reasons for this recommendation,
- the details of the conditions,
- the timeframe for the student to meet the conditions,
  
- the approval mechanism for meeting the conditions (e.g., approval of the committee chair or supervisor, or approval of the entire committee, or select members of the committee), and
- the supervision and assistance the student can be expected to receive from committee members

Conditions are subject to final approval by the Dean, FGSR. At the deadline specified for meeting the conditions, two outcomes are possible:

- All the conditions have been met. In this case, the department will complete the Report of Completion of Candidacy Examination form and submit it to the FGSR; or
- Some of the conditions have not been met. In this case, the outcome of the candidacy examination is a Fail, and the options below are available to the examining committee. Note that the options are different after a failed second candidacy examination.

**Fail:** If the candidacy examining committee agrees that the student has failed, the committee chair will provide the reasons for this recommendation to the department. The graduate coordinator will then provide this report, together with the department's recommendation for the student's program, to the Dean, FGSR, and to the student. For failed candidacy examinations, an Associate Dean, FGSR, normally arranges to meet with the student and others as required before acting upon any department recommendation.

The options available to the examining committee when the outcome of a student's candidacy exam is "Fail" are

- Repeat the Candidacy:

it to the FGSR.

**Conditional Pass:**

A Conditional Pass is appropriate when the student has satisfied the committee in all but a very discrete area of deficiency that can be addressed through a reasonable requirements (e.g., coursework, literature review, upgrading of writing skills). Reworking of the entire candidacy proposal is not an acceptable condition and the examiners should consider the options available for a student that has failed the examination.

A majority of examiners must agree to an outcome of Conditional Pass. If the candidacy examining committee agrees to a conditional pass for the student, the chair of the examining committee will provide in writing within five working days to the Dean, FGSR, the graduate coordinator and the student:

- the reasons for this recommendation,
- the details of the conditions,
- the timeframe for the student to meet the conditions, but which should be no less than six weeks and no more than six months.
- the approval mechanism for meeting the conditions (e.g., approval of the committee chair or supervisor, or approval of the entire committee, or select members of the committee),
- the supervision and assistance the student can expect to receive from committee members

Conditions are subject to final approval by the Dean, FGSR. At the deadline specified for meeting the conditions, two outcomes are possible:

- All the conditions have been met. In this case, the department will complete the Report of Completion of Candidacy Examination form and submit it to the FGSR; or
- If the conditions are not met by the deadline, the outcome of the examination is a fail and the committee must be reconvened to make the recommendation as described in the following section.

**Fail:** All or all but one of the examiners must agree to an outcome of Fail.

The options available to the examining committee when the outcome of a student's candidacy exam is "Fail" are

- Repeat the Candidacy: Repeating the Candidacy is not

A majority of examiners must agree to an outcome of Fail and Repeat the Candidacy. If the student's first candidacy exam performance was inadequate but the student's performance and work completed to date indicate that the student has the potential to perform at the doctoral level, the examining committee should consider the possibility of recommending that the student be given an opportunity to repeat the candidacy exam. Normally, the composition of the examining committee does not change for the repeat candidacy exam.

If the recommendation of a repeat candidacy is formulated by the examining committee and approved by the FGSR, the student and graduate coordinator are to be notified in writing of the student's exam deficiencies by the chair of the examining committee. The second candidacy exam is to be scheduled no later than six months from the date of the first candidacy. In the event that the student fails the second candidacy, the examining committee shall recommend one of the following two options to the department:

- Change of Category to a Master's Program: All or all but one of the examiners must agree to an outcome of Fail and Change of Category to a Master's Program. This outcome should be considered if the student's candidacy examination performance was inadequate and the student's performance and work completed to date indicates that the student has the potential to complete a master's, but not a doctoral, program; or
- Termination of the Doctoral Program: All or all but one of the examiners must agree to an outcome of Fail and Terminate the Doctoral Program. If the student's performance was inadequate, and the work completed during the program is considered inadequate, then the examining committee should recommend termination of the student's program.

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### **Final Doctoral Examination**

Each department offering a doctoral degree is required to establish detailed examination procedures for final examinations. These procedures must be made available publicly.

an option after a second failed examination. A majority of examiners must agree to an outcome of Fail and Repeat the Candidacy. If the student's first candidacy exam performance was inadequate but the student's performance and work completed to date indicate that the student has the potential to perform at the doctoral level, the examining committee should consider the possibility of recommending that the student be given an opportunity to repeat the candidacy exam. Normally, the composition of the examining committee does not change for the repeat candidacy exam.

If the recommendation of a repeat candidacy is formulated by the examining committee and approved by the FGSR, the student and graduate coordinator are to be notified in writing of the student's exam deficiencies by the chair of the examining committee. The second candidacy exam is to be scheduled no later than six months from the date of the first candidacy. In the event that the student fails the second candidacy, the examining committee shall recommend one of the following two options to the department:

- Change of Category to a Master's Program: All or all but one of the examiners must agree to an outcome of Fail and Change of Category to a Master's Program. This outcome should be considered if the student's candidacy examination performance was inadequate and the student's performance and work completed to date indicate that the student has the potential to complete a master's, but not a doctoral, program; or
- Termination of the Doctoral Program: All or all but one of the examiners must agree to an outcome of Fail and Terminate the Doctoral Program. If the student's performance was inadequate, and the work completed during the program is considered inadequate, then the examining committee should recommend termination of the student's program.

If the candidacy examining committee agrees that the student has failed, the committee chair will provide the reasons and the recommendation for the student's program to the department. The graduate coordinator will then provide this report, together with the department's recommendation for the student's program, to the Dean, FGSR, and to the student. For failed candidacy examinations, an Associate Dean, FGSR, normally arranges to meet with the student (and others as required) before acting upon any department recommendation.

### **Final Doctoral Examination**

Each department offering a doctoral degree is required to establish detailed examination procedures for final examinations. These procedures must be made available publicly.

**Preliminary Acceptance of the Thesis:** Before the thesis is forwarded to the External, the supervisory committee members must declare in writing to the supervisor(s) either that the thesis is of adequate substance and quality to warrant that the student proceed to the final examination or that the thesis is unsatisfactory and the student should not be allowed to proceed to the final examination.

The purpose of this process is to ensure the thesis is vetted by the supervisor(s) and all supervisory committee members and to verify that it is of sufficient substance and quality to proceed to the final examination.

This process is critical to protect and uphold the reputation of the department and the University of Alberta for excellence in graduate programs. It is also critical to ensure that Externals and other additional members of the examining committee are not asked to invest time reading a thesis that is substandard.

Departments may choose to prepare a "Preliminary Acceptance of Thesis" signature sheet for their own records.

**Attendance at Doctoral Examinations:** Faculty members of the student's home department as well as members of FGSR Council (or their alternates) have the right to attend doctoral examinations but should notify the chair of the examining committee. Other persons may attend the examination only with special permission of the Dean of the department's Faculty, the Dean, FGSR, or the chair of the examining committee.

Except for a Dean or a Pro Dean who may participate fully in the examination, persons who are not members of the examining committee:

- may participate in the questioning only by permission of the chair of the committee, but
- are not permitted to participate in the discussion of the student's performance and must withdraw before such discussion commences

**Inviting the External Examiner or Reader:** Every Final Doctoral Examining Committee must have an External i.e., an arm's length examiner from outside the University of Alberta. The term External Examiner refers to an External **that** attends the examination; whereas the term External Reader refers to an External who provides a written evaluation of the thesis and questions to be asked during the examination. External Readers are deemed to be in attendance at the examination.

It is the responsibility of the department to recommend an External Examiner or Reader and to submit the name to the Dean of the department's Faculty for approval. Normally, this should be done at least two months in advance of the examination date. The submission must follow the procedures established by the Dean of the department's Faculty.

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The External:

- **Must** be a recognized authority in the specific field of research of the student's thesis;
- Will be experienced in evaluating doctoral area work; and
- Must be in a position to review the thesis objectively and to provide a critical analysis of the work and the presentation.

It is essential that the External not have an association with the student, the supervisor, or the department, within the last six years as this could hinder objective analysis. For example, a proposed External who has within the last six years been associated with the student as a research collaborator or coauthor would not be eligible. Also, a proposed External must not have had an association within the last six years with the doctoral student's supervisor (as a former student, supervisor, or close collaborator, for instance).

Under normal circumstances the same person will not be used as an External at the University of Alberta if that External has served in the same capacity in the same department at this University within the preceding two years; this does not preclude an External serving in another department.

Once the External has been approved an official letter of invitation is issued to the External by the department.

**Approval of the Doctoral Final Examining Committee:**

The department will recommend the names of all members of the final examining committee and forward them to the Dean of the department's Faculty, if decanal approval is required, following the procedures established by their Faculty.

**External Readers:** Do not attend the examination.

Instead, the External Reader is asked in the letter of invitation to prepare a written report consisting of:

- an evaluation of the scope, structure, methodology, and findings of the thesis,
- a list of minor errors (if any), and
- either a list of clear, direct, contextualized questions to be posed to the candidate during the examination, or a brief written commentary of the thesis which can be read to the candidate for response during the examination.

The External Reader must include a statement that the thesis falls into one of the following two categories:

- **Acceptable with minor or no revisions:** In this case, the External Reader submits the report to the Graduate Coordinator at least one week before the examination. If the External Reader considers the thesis to be of a calibre worthy of consideration for an award, the External Reader comments on this in the written evaluation; or
- **Unacceptable without major revisions:** In this case, the External Reader contacts the Dean of the FGSR

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immediately by email as the examination may need to be postponed.

The questions or commentary will be made available to the student for the first time during the examination and the committee will evaluate the student's answers as part of the examination.

**External Examiners:** Attend the examination in person.

In the letter of invitation, the External Examiner is requested to prepare and send to the Graduate Coordinator, at least one week in advance of the examination, an evaluation of the thesis placing it temporarily in one of the following categories:

- the thesis is acceptable with minor or no revisions,
- the External Examiner wishes to reserve judgment until after the examination, or
- the thesis is unacceptable without major revisions.

In the first two cases, the External Examiner is asked to provide a brief written commentary (approximately two to three pages) on the structure, methodology, quality, significance and findings of the thesis for the reference of both the student and supervisor. The commentary should not be given to the student prior to the examination.

If the thesis is judged by the External Examiner to fall into the "Unacceptable" category, then the External Examiner is asked to contact the Dean of the FGSR immediately, since the final examination may **have** to be postponed.

**The Examination:** The examining committee should conduct a final examination, based largely on the thesis. The graduate coordinator should ensure that the chair of the examining committee, the student, and all examiners have a final copy of the thesis at the examination. The student should make a brief presentation about the thesis.

The most time should be allotted to the arm's length examiners, including the External Examiner, while the least time is allocated to the supervisor(s).

No final decision should be made without each examiner having given an opinion.

Decision of the Doctoral Final Examining Committee: The decision of the examining committee will be based both on the content of the thesis and on the student's ability to defend it. The final examination may result in one of the following outcomes:

- Adjourned
- Pass
- Pass subject to revisions
- Fail

There is no provision for a final examination to be "passed subject to major revisions".

If the Examining Committee fails to reach a decision, the department will refer the matter to the Dean, FGSR, who will determine an appropriate course of action.

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There is no provision for a final examination to be "passed subject to major revisions".

If the Examining Committee fails to reach a decision, the department will refer the matter to the Dean, FGSR, who will determine an appropriate course of action.

**Adjourned:** An adjourned examination is one that has been abandoned officially. A majority of examiners must agree to an outcome of Adjourned. The final examination should be adjourned in the following situations:

- The revisions to the thesis are sufficiently substantial that it will require further research or experimentation or major reworking of sections, or if the committee is so dissatisfied with the general presentation of the thesis that it will require a reconvening of the examining committee. In such circumstances the committee cannot pass the student, and must adjourn the examination.
- The committee is dissatisfied with the student's oral presentation and defence of the thesis, even if the thesis itself is acceptable with or without minor revisions.
- Compelling, extraordinary circumstances such as a sudden medical emergency taking place during the examination.
- Discovery of possible offences under the Code of Student Behaviour after the examination has started.

If the examination is adjourned, the committee should:

- Specify in writing to the student, with as much precision as possible, the nature of the deficiencies and, in the case of revisions to the thesis, the extent of the revisions required. Where the oral defence is unsatisfactory, it may be necessary to arrange some discussion periods with the student prior to reconvening the examination.
- Decide upon a date to reconvene. If the date of the reconvened examination depends upon the completion of a research task or a series of discussions, it should be made clear which committee members will decide on the appropriate date to reconvene. The final date set for reconvening shall be no later than six months from the date of the examination. This new examination must be held within six months of the initial examination.
- Make it clear to the student what will be required by way of approval before the examination is reconvened (e.g., approval of the committee chair or supervisor, approval of the entire committee, or of select members of the committee).
- Specify the supervision and assistance the student may expect from the committee members in meeting the necessary revisions.
- Advise the Dean of the department's Faculty following the procedures established for this purpose.
- Advise the FGSR in writing of the adjournment and the conditions.
- When the date is set for the adjourned final examination, the department will notify the Dean of the department's Faculty and the FGSR. Normally a Pro Dean attends the examination.

**Pass:**

**Adjourned:** An adjourned examination is one that has been abandoned officially. A majority of examiners must agree to an outcome of Adjourned. The final examination should be adjourned in the following situations:

- The revisions to the thesis are sufficiently substantial that it will require further research or experimentation or major reworking of sections, or if the committee is so dissatisfied with the general presentation of the thesis that it will require a reconvening of the examining committee. In such circumstances the committee cannot pass the student, and must adjourn the examination.
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- Specify the supervision and assistance the student may expect from the committee members in meeting the necessary revisions.
- Advise the Dean of the department's Faculty following the procedures established for this purpose.
- Advise the FGSR in writing of the adjournment and the conditions.
- When the date is set for the adjourned final examination, the department will notify the Dean of the department's Faculty and the FGSR. Normally a Pro Dean attends the examination.

**Pass:** Pass is the decision given when the only revisions required are typographical or minor editorial changes. All

All or all but one of the examiners must agree to an outcome of Pass. If the student passes the examination, the department should submit a completed Thesis Approval/Program Completion form to the FGSR. If one of the examiners fails the student, that examiner does not have to sign this form.

**Pass Subject to Revisions:** All or all but one of the examiners must agree to an outcome of Pass Subject to Revisions. The student has satisfactorily defended the thesis but the revisions to the thesis are sufficiently minor that it will not require a reconvening of the examining committee. If the examining committee agrees to a “Pass subject to revisions” for the student, the chair of the examining committee must provide in writing, within five working days of the examination, to the Dean, FGSR, the graduate coordinator and the student.

- the reasons for this outcome,
- the details of the required revisions,
- the approval mechanism for meeting the requirement for revisions (e.g., approval of the examining committee chair or supervisor, or approval of the entire examining committee, or select members of the committee), and
- the supervision and assistance the student can expect to receive from committee members.

The student must make the revisions within six months of the date of the final examination. Once the required revisions have been made and approved, the department shall submit a completed Thesis Approval/Program Completion form to the FGSR indicating “pass subject to revisions”. If one of the examiners fails the student that examiner does not have to sign the form. If the required revisions have not been made and approved by the end of the six months deadline, the outcome of the examination is a Fail.

**Fail:** All or all but one of the examiners must agree to an outcome of Fail. If the examination result is a Fail, no member of the examining committee signs the Thesis Approval/Completion form.

When the outcome is a Fail, the committee chair will provide the reasons for this decision to the graduate coordinator. The department will then provide this report, together with its recommendation for the student’s program, to the Dean of the department’s Faculty, the FGSR, and to the student.

An Associate Dean, FGSR will normally arrange to meet with the student and with the graduate coordinator before acting upon any department recommendation that affects the student’s academic standing.

or all but one of the examiners must agree to an outcome of Pass. If the student passes the examination, the department should submit a completed Thesis Approval/Program Completion form to the FGSR. If one of the examiners fails the student, that examiner does not have to sign this form.

**Pass Subject to Revisions:** All or all but one of the examiners must agree to an outcome of Pass Subject to Revisions. The student has satisfactorily defended the thesis but the revisions to the thesis it will not require a reconvening of the examining committee. If the examining committee agrees to a “Pass subject to revisions” for the student, the chair of the examining committee must provide in writing, within five working days of the examination, to the student, the graduate coordinator, and FGSR:

- the reasons for this outcome,
- the details of the required revisions,
- the approval mechanism for meeting the requirement for revisions (e.g., approval of the examining committee chair or supervisor, or approval of the entire examining committee, or select members of the committee), and
- the supervision and assistance the student can expect to receive from committee members.
- A date for the revisions to be resubmitted, as negotiated with the student, but which should be no less than six weeks and no more than six months.

The student must make the revisions within six months of the date of the final examination. Once the required revisions have been made and approved, the department shall submit a completed Thesis Approval/Program Completion form to the FGSR indicating the committee decision was “pass subject to revisions”. If one of the examiners fails the student that examiner does not have to sign the form. If the required revisions have not been made and approved by the end of the six months deadline, the student will be required to withdraw.

**Fail:** All or all but one of the examiners must agree to an outcome of Fail. If the examination result is a Fail, no member of the examining committee signs the Thesis Approval/Completion form.

When the outcome is a Fail, the committee chair will provide the reasons for this decision to the graduate coordinator. The department will then provide this report, together with its recommendation for the student’s program, to the Dean of the department’s Faculty, the FGSR, and to the student.

An Associate Dean, FGSR will normally arrange to meet with the student and with the graduate coordinator before acting upon any department recommendation that affects the student’s academic standing.

**Justification:**

The conduct of graduate examinations holds extremely high stakes for individual students and presents significant reputational risk for the faculty, program and institution. A major revision the Supervision and Structure of Examining Committees in the Graduate Program Manual was approved by FGSR Council in May 2012. Subsequently in May 2013 the authority for approval of supervisors, supervisory committees, external examiners and examining committees was delegated to the disciplinary department/Faculty of the program and the change to the Calendar governing examinations was approved by FGSR Council October 2013 appearing in the 2014-2015 Calendar. A number of areas have come to light that have caused problems due to apparent contradictions, gaps and/or confusing language. The revisions are not intended to significantly alter the policies governing examinations but to clarify the policies, elaborate on procedures, and update graduate level examination procedures given changes to practices and technologies.

Approved: FGSR Council, May 17, 2017