

Section 1: Thesis & Dissertation Supervision

Master's Thesis Supervisory Committees

Composition of Committee

Master's thesis supervisory committees consist of a minimum of two faculty members appointed to the Faculty of Graduate Studies, at least one of whom must be from the program in which the student is enrolled, and who serves as the principal supervisor.

In exceptional circumstances, and with the prior approval of the Dean, one additional member may be appointed who is not a member of the Faculty of Graduate Studies. Such recommendations are to be accompanied by a brief rationale and an up-to-date curriculum vitae, which should be attached to the Supervisor & Supervisory Committee Approval Form. The form can be found here:

<http://www.yorku.ca/grads/forms/SupervisorCommitteeApproval.pdf>.

Approval Timelines

The membership of each master's thesis supervisory committee, including the Chair, must be recommended by the appropriate graduate program director for approval and appointment by the Dean of Graduate Studies no later than the second term of study (or equivalent for part-time students) or, for students in the Graduate Program in Environmental Studies, by the end of the third term of study.

Approval Process

Recommendation for membership of a master's thesis supervisory committee is formally initiated by the graduate program director via submission of a Supervisor & Supervisory Committee Approval Form, which can be found here: <http://www.yorku.ca/grads/forms/SupervisorCommitteeApproval.pdf>.

The Supervisor & Supervisory Committee Approval Form is to be used when recommending the establishment of a supervisory committee, to add members to an incomplete committee, and to make changes to an existing committee.

Final approval of supervisory committee membership recommendations rests with the Dean of the Faculty of Graduate Studies.

Supervisor's Roles and Responsibilities

A thesis supervisor (chair of the supervisory committee) shall:

- be reasonably accessible to the student, normally meeting once a month and never less than once each term; and,
- ensure that a copy of the student's thesis is sent to each member of the student's thesis examining committee as far as possible in advance of the date of the student's oral examination, but no later than three weeks prior to the date set.

Supervisory Committee Roles and Responsibilities

A thesis supervisory committee shall:

- review a student's research proposal and recommend its approval to the appropriate graduate program director and the Dean not less than three months prior to the date set for the oral examination;
- review the student's progress from time to time, normally every six (6) months and never less than once each year. (Reports to the graduate program director of unsatisfactory progress may require a student to withdraw from a program of studies or withdraw from the graduate program in which she/he is enrolled);
- meet annually with the student, normally in the spring, to evaluate the Report on Progress submitted by the student and submit a completed copy of the Report on Progress to the graduate program director after the meeting; and,
- read the thesis and make a recommendation to the graduate program director regarding the oral defense.

Doctoral Dissertation Supervisory Committees

Composition of Committee

A dissertation supervisory committee will consist of a minimum of three members from the Faculty of Graduate Studies, at least two of whom must be members of the graduate program in which the student is enrolled. The principal supervisor must be a Full Member of the graduate program in which the student is enrolled. An Associate Member of the graduate program may serve as a co-supervisor on the condition that the other co-supervisor is a Full Member of the graduate program.

In exceptional circumstances and with prior approval of the Dean, the third, or an additional member, may be appointed who is not a member of the Faculty of Graduate Studies. Such recommendations are to be accompanied by a brief rationale and an up-to-date curriculum vitae, which should be attached to the Supervisor & Supervisory Committee Approval Form. The form can be found here: <http://www.yorku.ca/grads/forms/SupervisorCommitteeApproval.pdf>.

Approval Timelines

For doctoral students to remain in good academic standing, they must have a supervisor and supervisory committee in place in accordance with program requirements. The minimum Faculty of Graduate Studies requirements are as follows:

A supervisor must be recommended by the appropriate graduate program director for approval by the Dean of Graduate Studies no later than the end of the fifth term of study (end of second term of PhD II). Students will not be able to register in the seventh term of study (the onset of PhD III) unless a supervisor has been approved.

A supervisory committee must be recommended by the appropriate graduate program director for approval by the Dean of Graduate Studies no later than the end of the eighth term of study (end of second term of PhD III). Students will not be able to register in the tenth term of study (the onset of PhD IV) unless a supervisory committee has been approved.

Approval Process

Recommendation for membership of a doctoral dissertation supervisory committee is formally initiated by the graduate program director via submission of a Supervisor & Supervisory Committee Approval Form, which can be found here: <http://www.yorku.ca/grads/forms/SupervisorCommitteeApproval.pdf>.

The Supervisor & Supervisory Committee Approval is to be used when recommending the establishment of a supervisory committee, to add members to an incomplete committee, and to make changes to an existing committee.

Final approval of supervisory committee membership recommendations rests with the Dean of the Faculty of Graduate Studies.

Supervisor's Roles and Responsibilities

A dissertation supervisor (Chair of the supervisory committee) shall:

- be reasonably accessible to the student, normally meeting once a month and never less than once each term.
- ensure that a copy of the student's dissertation is sent to each member of the student's dissertation examining committee as far as possible in advance of the date of the student's oral examination, but no later than four weeks prior to the date set.

Supervisory Committee Roles and Responsibilities

A dissertation supervisory committee shall:

- review the student's research proposal and recommend its approval to the appropriate graduate program director and the Dean not less than six months prior to the date set for the oral;
- review the student's progress normally each month and never less than once each term. (Reports to the graduate program director of unsatisfactory progress may require a student to withdraw from a program of studies or withdraw from the graduate program in which the student is enrolled);
- meet annually with the student, normally in the spring, to evaluate the Report on Progress submitted by the student and submit a completed copy of the Report on Progress to the graduate program director after the meeting; and,
- read the dissertation and make a recommendation to the graduate program director regarding the oral defense.

Graduate Supervision Guidelines

Guidelines for Supervisors

The supervisor's principal task consists in helping students realize their scholarly potential. This can only be accomplished in a relationship that offers insights born of experience, and furnishes the requisite challenges, stimulation, guidance and genuine support. The student has a right to expect from the supervisor expertise, accessibility and support. The supervisor must offer substantive and procedural assistance with the design, planning and conduct of feasible research projects, introduction to the network of scholars in the area of specialization, and support for the presentation and publication of the research results. At the same time the supervisor must ensure that the scholarly standards of the university and the discipline are met in the student's work. It is the responsibility of the supervisor to:

1. Be reasonably accessible to the student for consultation and discussion of the student's academic progress and research problems. The frequency of such meetings will vary according to the discipline involved and the stage and nature of the student's work, but should normally occur once a month, and never less than once each term.
2. Give timely response to submitted written work, with constructive suggestions for improvements.
3. Make satisfactory arrangements with the approval of the director of the graduate program for the supervision of the student when on leave or sabbatical, or on extended absence from the university.
4. Convene an annual meeting of the supervisory committee, normally in the spring, to evaluate the student's Report on Progress, and submit a copy of the completed Report to the Director of the Graduate Program after the meeting.
5. Ensure the student is aware of University, Faculty and program requirements and standards to which the thesis/dissertation is expected to conform.
6. Assist the student with attempts to acquire external funding, including meeting appropriate deadlines, and to engage in scholarly development (e.g., conference presentations and publications).
7. Offer supervision and advice appropriate to the stage of the student's work, helping the student to establish and modify a suitable timetable for completion of the various stages of the thesis/dissertation project:
 - at the proposal stage, assist the student with selection of a suitable and manageable topic and approach.
 - at the research stage, assist the student with initial research design and subsequent modification, with alleviating current and anticipated problems, with interpretation and analysis of findings, and with bringing the project to completion.
 - at the writing stage, assist the student with appropriate and timely feedback on individual draft chapters, and with revision to the draft thesis/dissertation as an integrated whole.
 - at the oral defense stage, advise the student on preparation for the examination and assist the student to interpret and comply with any changes recommended by the examining committee, in conjunction with the Chair of the examining committee as required.

8. When the final draft of the thesis or dissertation is complete, ensure that all members of the committee have read the document and are agreed that it is ready to proceed to an oral defense. Suggest possible members of the examining committee to the program director (i.e., outside examiner, external examiner). Ensure that a master's thesis is sent to the examining committee at least three weeks prior to the date of the examination, and a doctoral dissertation at least four weeks prior to the date of the examination.
9. Appropriately acknowledge in published material the contributions of the student, including consideration of joint authorship of publications. Where the student's research comprises a component of the supervisor's research program, and joint publication is envisaged, it must be recognized that the responsibility for utilization of data and for publications is held jointly by the supervisor and student. Endeavour to clarify at the outset of the supervisory relationship expectations regarding the responsibility and publication credit for work initiated, designed and researched by the student, but supported financially or otherwise by the supervisor.
10. Conform to basic principles of academic integrity and professionalism in the development of a mature and objective relationship with the student. It must be recognized that there is a power imbalance in the supervisory relationship and that any form of harassment is unacceptable.
11. Conform to program and Faculty processes in the event of a supervisory relationship which is unsatisfactory for any reason.
12. Even though "each student has final responsibility for her or his academic honesty" (Senate Policy on Academic Honesty), it is incumbent on the supervisor to ensure, to the extent that it is practicable in the circumstances, the academic integrity of primary research data, and the consistency with academic integrity and practice of interpretations relating to such data.

Guidelines for Students

By entering into a graduate program, the student has made a commitment to devote the time and energy necessary to engage in research and write a thesis/dissertation which constitutes a substantial and original contribution to knowledge in a field. The supervisor has a right to expect from the student ability, initiative and receptivity. It is the responsibility of the student to:

1. Conform to University, Faculty and program requirements and procedures for completion of the graduate degree, with regard to such matters as research ethics, registration and graduation requirements, thesis/dissertation style and quality standards etc.
2. Develop, in conjunction with the supervisor and supervisory committee, an intended timetable for completion of all stages of the thesis/dissertation, and work to realize that timetable, meeting appropriate deadlines.
3. Meet regularly with the supervisor to review progress. The frequency of such meetings will vary according to the discipline involved and the stage and nature of the student's work, but should normally occur at least once a month and not less than once each term. Interact with other members of the supervisory committee as appropriate.
4. Keep the supervisor and graduate program office informed of where the student may be contacted, and respond appropriately to all communications received.

5. Prepare a Report on Progress for an annual meeting with the supervisory committee.
6. Give serious consideration to and respond to the advice and criticism received from the supervisor and the supervisory committee.
7. Recognize that the supervisor and other members of the supervisory committee may have other teaching, research and service obligations which may preclude immediate responses.
8. Recognize that where the student's research comprises a component of the supervisor's research program, and joint publication is envisaged, the responsibility for utilization of data and for publications is held jointly by the supervisor and student. In such cases, the thesis/dissertation, or draft papers, together with a copy of the raw data, shall be made available to the supervisor prior to submission for publication.
9. Conform to basic principles of academic integrity and professionalism in the development of a mature and objective relationship with the supervisor, the supervisory committee, and other scholars. The entire graduate program, including research and writing of the thesis/dissertation, shall be conducted under the strictest rules of ethics and academic honesty.
10. As stated in the *Senate Policy on Academic Honesty*, "A lack of familiarity with the Senate Policy and Guidelines on Academic Honesty on the part of a student does not constitute a defense against their application." With that in mind, it is incumbent on each student to ensure the academic integrity of his or her primary research, and of the interpretations relating to such research.

Annual Progress Reports

It is clearly established that completion rates are enhanced and average completion/withdrawal times reduced if supervisory committees meet regularly (at least annually) with each student, usually in the spring, and evaluate the student's activities and progress.

Master's Programs

A thesis supervisory committee shall meet annually with the student, normally in the spring, to evaluate the Report on Progress submitted by the student and submit a completed copy of the Report on Progress to the graduate program director after the meeting. In accordance with program requirements and procedures, students in non-thesis program options may be required to submit a progress report to the graduate program director. Reports to the graduate program director of unsatisfactory progress may require a student to withdraw from a program of studies, or withdraw from the graduate program in which the student is enrolled.

Doctoral Programs

In accordance with program requirements and procedures, students in doctoral programs must submit a progress report to the graduate program director on an annual basis, normally in the spring. Once established, a dissertation supervisory committee shall meet annually with the student, normally in the spring, to evaluate the Report on Progress submitted by the student and submit a completed copy of the Report on Progress to the graduate program director after the meeting. Reports to the graduate program director of unsatisfactory progress may require a student to withdraw from a program of studies, or withdraw from the graduate program in which the student is enrolled.

Sample Progress Report

Graduate programs may use the sample Report on Progress provided below. However, in order to engage more effectively in the annual evaluation and discussion of students' activities and process, it is strongly recommended that each program develop a report that is more closely aligned with their program-specific requirements, milestones and timelines, and learning objectives.

Name of Student:	
Program:	
Year Level:	
Supervisory/ Supervisory Committee:	
<i>To Be Completed By Student</i>	
1. What progress have you made toward your degree during the past year? (Do not include progress recorded in last year's report.) Please explain deviations from last year's goals.	
2. Please itemize the remaining requirements for your degree, including stages of your thesis or	

dissertation, and propose a timetable for completing them, with specific goals for the next year:	
<i>To Be Completed By Supervisor</i>	
1. Comments on the student's progress during the last year:	
2. Comments on the student's objectives for next year:	
3. Comments on student's timetable for completing degree requirements, including thesis or dissertation:	
4. Considering the overall professional development of the student (e.g. stage in program, conference presentations, publications, etc.), is he/she making satisfactory academic progress? If not, explain why.	
5. At least two members of the supervisory committee met with this student to discuss his/her progress <i>OR</i> This student is engaged in research away from the university, and unavailable for a meeting, so this evaluation was completed by mail, and discussed by at least two members of the supervisory committee.	
Supervisor's signature:	
Date:	
<i>Student's Reply To Committee's Comments</i>	
Student's signature:	
Date:	
<i>A completed copy of this Report is to be forwarded by the supervisor to the program director.</i>	

Conflict Resolution

Each graduate program should make available to students information regarding University, Faculty and program requirements and procedures for completion of the master's or doctoral degree. This information should include the names and areas of expertise of faculty members available for supervision. Furthermore, each graduate program must ensure that the unit provides an atmosphere that is conducive to productivity and creativity, and monitor supervisory relationships within the program.

Each graduate program should have in place a process in the event that supervisory relationships are unsatisfactory for whatever reason, beginning with informal consultation with the program director. In the event that the matter is not resolved at the program-level, consultation with the Office of the Dean, Graduate Studies would be the next step.

Resources

Canadian Association for Graduate Studies, *Guiding Principles for Graduate Student Supervision*, 2008
[<http://www.cags.ca/pages/en/publications/cags-publications.php>]

Council of Graduate Schools, *Research Student and Supervisor*, Washington D.C., 1990

Ontario Council on Graduate Studies, *Doctoral Graduate Rates in Ontario Universities: A Discussion Paper*, November 1991

Section 2: General Requirements

Types of Theses & Dissertations

Master's Theses

Master's theses submitted by students in partial fulfillment of degree requirements must embody the results of original research and must be successfully defended at oral examinations. Master's theses shall be on a topic approved by the student's supervisor and supervisory committee, and shall include submission and approval of a thesis proposal, including appropriate ethics review and approval, in accordance with Faculty and program requirements and procedures.

Master's theses should demonstrate that the student is familiar with and has an acceptable understanding of the literature in the subject of the thesis; that appropriate research methods have been used; and that appropriate levels of critical analysis have been applied. The research embodied in the thesis should make some original contribution to knowledge in the field.

Doctoral Dissertations

Doctoral dissertations shall be on a topic approved by the student's supervisor and supervisory committee, and shall include submission and approval of a dissertation proposal, including appropriate ethics review and approval, in accordance with Faculty and program requirements and procedures. Dissertations must embody the results of original research and must be successfully defended at an oral examination.

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

Originality of a Thesis/Dissertation

By submitting a thesis or dissertation, a student is making the representation that it is entirely his or her own work and that it has been done while he or she was a graduate student at York University.

If such is not the case, then the student must indicate in a signed, written statement what part of the thesis or dissertation is solely his or her own or co-authored. If co-authored, the candidate must provide an account of its provenance. The supervisor must produce her or his own corroborative written statement.

If a thesis or dissertation is the result of collaborative work, then the nature of the collaboration and the extent of the candidate's contribution must be described in a written statement signed by the candidate and approved in writing by the candidate's supervisor. Where there has been collaboration with others in the collection or preparation of data, materials, or documentation included in the thesis or dissertation, then appropriate acknowledgment must be made in the thesis or dissertation.

If a thesis or dissertation – or any part thereof – has been published prior to submission of the thesis/dissertation, then the candidate must disclose this fact in a signed written statement, and the supervisor must approve in writing the inclusion of such work in the thesis or dissertation. In cases

where one or more chapters of the thesis or dissertation have been previously published in a journal or book to which the author has assigned copyright, permission to include the chapter(s) in the thesis or dissertation must be obtained from the copyright holder(s). Please see the section on Copyright for more details.

A thesis or dissertation containing previously published material of which the candidate is the author and/or co-author should also contain a review of the literature that adequately explains the relationship to the literature of the work undertaken. In addition, it should contain a rationale for the study. These elements may form part of the body of the work – normally an introduction or opening chapter – that leads coherently into the publications. Furthermore, there should be a concluding chapter or section that discusses the body of the thesis or dissertation, including all previously published parts.

A false representation or failure to make a disclosure as outlined above is an academic offence and renders the thesis or dissertation ineligible for consideration of the relevant degree.

Manuscript-based Theses & Dissertations

The general form and style of a thesis/dissertation may differ from program to program, but a thesis/dissertation should be a coherent work. This means that if a thesis/dissertation contains separate manuscripts, there needs also to be introductory and concluding chapters that explain how these separate manuscripts fit together into a unified body of research. If previously published materials are included, then it should be made clear what exactly is the student's own work and what is the contribution of other researchers, as outlined above under Originality of a Thesis/Dissertation.

Complex Electronic and Multimodal Theses & Dissertations

All theses and dissertations must contain a written component. Theses and dissertations may, however, include other components in addition to the written component.

A complex electronic thesis/dissertation is a work with a high reliance on slides, film or videos, electronically interactive word/image-based text on CD-ROM or the internet. For complex electronic theses/dissertations, part of the work can be produced in traditional written form, but key elements of the work depend on direct experience with or interaction with a text whose physical form may be changed as a consequence of the interaction. Students producing a multimedia thesis/dissertation should consult with the Theses Canada Portal (www.nlc-bnc.ca/thesescanada) on the Library and Archives Canada website for advice on formats supportable for preservation. However, a student may work in or submit work in an unsupported format as part of the oral exam as long as the work is readily accessible by the exam committee and the student submits a written component.

A multimodal thesis/dissertation is a work in which the key component is a performance or piece of art. For multimodal theses/dissertations, part of the work can be produced in traditional written form, but key elements of the work depend on direct experience by the exam committee with, for example, displayed artworks or theatrical productions.

For both electronic and multimodal theses/dissertations, students may wish to include supplementary files as part of their final submission (see Section 5: Final Thesis/Dissertation Submission).

Language of Theses & Dissertations

A thesis or dissertation should be written in English, but approval may be given to a written request from a student for a thesis or dissertation to be written in French or in the language of any Aboriginal/First Nations people in North America, subject to confirmation from the director of the graduate program concerned that relevant supervision and sufficient support for the completion of such written work can be provided.

For theses/dissertation written in English, either American or British spelling is acceptable provided that it is used consistently throughout.

Style Guides

Students preparing their thesis/dissertation should follow a single style guide appropriate to their discipline. The York University Libraries provides links to various style guides for various disciplines, which can be found here: <http://www.library.yorku.ca/ccm/Home/ResearchAndInstruction/StyleManuals/>

Thesis and Dissertation Proposals

Proposal Guidelines

In accordance with program requirements and procedures, all students should prepare a thesis/dissertation proposal, normally in consultation with their supervisor. Each program should have written guidelines and should communicate them to candidates, as and when appropriate.

At a minimum, the proposal should contain a brief statement in non-technical language on the purpose of the thesis/dissertation research, its relationship to existing work in the area, and the contribution which the researcher hopes to make to the advancement of knowledge in the field. In addition, the proposal includes a title, the name of the supervisor and the supervisory committee. The title should indicate as clearly as possible the area of research, but it is understood that this title may change. The recommended maximum length of a proposal is 3,500 words, but individual programs may require proposals of a greater length.

Approval Process

Following approval of the proposal by the supervisory committee, students must submit one or more copies of the proposal to the graduate program director. After confirming that the relevant Faculty and internal program requirements have been satisfied, the program director is responsible for submitting the proposals to the Office of the Dean, Graduate Studies using the Form TD1: Thesis/Dissertation Research Submission, which can be found at the following link:

http://www.yorku.ca/grads/policies_procedures/policies/td1_web%20spring%202011.pdf

As indicated on Form TD1: Thesis/Dissertation Research Submission, submission of the proposal to the Office of the Dean, Graduate Studies, includes submission of the relevant research ethics forms and documentation. For more information, please refer to the Research Ethics section of this Handbook.

Approval Timelines

For a master's thesis, the supervisory committee must review the student's research proposal and recommend its approval not less than three months prior to the date set for the oral examination.

For a doctoral dissertation, the supervisory committee must review the student's research proposal and recommend its approval not less than six months prior to the date set for the oral examination.

Please note that the deadlines outlined above are the Faculty's minimum requirements, and individual graduate programs may have more specific requirements and timelines with respect to the development, review and approval of thesis/dissertation proposals. Students should consult their program for more details. Further, the Faculty deadlines outlined above may not provide the time necessary for ethics approval, if required. More information regarding research ethics is provided below.

Research Ethics

York University is committed to the highest standards of integrity in research. All projects involving the use of human subjects, animals, and biohazardous materials are subject to review by the appropriate University committee. York has formulated policies and procedures for the conduct of research involving all three of these areas.

As indicated on Form TD1: Thesis/Dissertation Research Submission (which can be found at the following link: http://www.yorku.ca/grads/policies_procedures/policies/td1_web%20spring%202011.pdf): submission of the thesis/dissertation proposal to the Office of the Dean, Graduate Studies for approval must include the relevant research ethics forms and documentation.

Research Involving Human Participants

All research involving human participants is governed by the *Senate Policy for the Ethics Review Process for Research Involving Human Participants*, which can be found here: <http://www.yorku.ca/secretariat/policies/document.php?document=94>. The *Senate Policy* stipulates that all University-based research involving human participants, whether funded or non-funded, faculty or student, scholarly, commercial or consultative, is subject to an ethics review process. The *Senate Policy for the Ethics Review Process for Research Involving Human Participants* and corresponding review procedures adhere to the published guidelines of the Canadian Institutes of Health Research, the Natural Sciences and Engineering Research Council, and the Social Sciences and Humanities Research Council, known as the Tri-Council Policy Statement (TCPS), which can be found here: <http://www.pre.ethics.gc.ca>.

Please note that in accordance with the TCPS and Senate policy, *graduate students undertaking research with human participants may not begin that research until their proposal has received approval from the appropriate body*. Further, prior to conducting research involving human participants, graduate students are required to complete the complete the TCPS tutorial, which can be found here: <http://www.pre.ethics.gc.ca>.

Details regarding the ethics review procedures for thesis/dissertation research involving human participants is available on the Faculty of Graduate Studies research ethics webpage, which can be found here: http://www.yorku.ca/grads/current_students/ethics.html. Students conducting research with human participants may be required to submit the Form TD2: Human Participants Research Protocol, which can be found at the following link: http://www.yorku.ca/grads/policies_procedures/policies/td2_06_2011.pdf. Additional forms may be required.

Research Involving Animals, Biohazardous Materials and Other Research Situations

Further details regarding the University policies and ethics review procedures for thesis/dissertation research involving animals and biohazardous materials is available on the Office of Research Ethics webpage, which can be found here: <http://www.yorku.ca/research/support/ethics/index.html>.

Ethics guidelines for other research situations are also available on the Office of Research Ethics webpage, including:

- Invasive Procedures
- Health and Safety Checklist
- Surveys and Research in an Online Environment
- Research Conducted by External Researchers
- Research Conducted in Hospital Clinical Settings
- Research in Educational Settings
- Research Involving Minor Age Participants
- Research with People who are Homeless

Copyright

Ownership of Theses/Dissertations

Students hold copyright to their theses and dissertations, regardless of the method of submission. Consequently, a student is free to publish his or her thesis/dissertation following a successful oral examination. Please note that if a thesis/dissertation includes any work which is copyrighted to another party, permission may be required to publish the thesis/dissertation.

Distribution Licenses and Confirmation of Originality

After a successful oral examination the Library and Archives Canada Thesis Non-Exclusive License (which can be found here: <http://www.yorku.ca/grads/forms/NEW/Thesis%20Non-Exclusive%20License.pdf>) must be submitted to the Office of the Dean, Faculty of Graduate Studies. The student must also accept the terms of the York University Copyright License as part of the electronic submission of their thesis/dissertation using the Electronic Thesis and Dissertation (ETD) application (www.etsd.yorku.ca).

By signing these licenses, a student is confirming that his or her thesis/dissertation is his or her original work, that his or her thesis/dissertation does not infringe any rights of others, and that he or she has the right to make the grant conferred by those copyright licenses. In addition, the student is granting a License to York University to make copies, including electronically formatted copies and/or distribute worldwide all or part of the thesis/dissertation, subject to the conditions outlined.

If applicable, the student should submit copies of any required copyright permissions prior to the final thesis/dissertation submission to the Office of the Dean, Graduate Studies. The student should also retain copies of all copyright permission requests and approvals.

When to Secure Copyright Permission

The following sections provide guidance and suggestions with respect to when and how to secure copyright permission. It is, however, the responsibility of the student to confirm that if there is copyrighted material in his or her thesis/dissertation, it either complies with the “fair dealing” provisions of the Canadian Copyright Act (which can be found here: <http://laws-lois.justice.gc.ca/eng/acts/C-42/index.html>) or documented permission has been obtained to use the copyrighted material. The Office of the Dean, Faculty of Graduate Studies cannot offer legal advice as to whether or not copyright permission is required.

Limit of Copyright Protection: Copyright protection applies to original, literary, musical, dramatic or artistic works in a variety of forms, including written materials, computer software, and web-based formats regardless of whether the work in question is published or not and whether someone has made it available to the public or not. This protection expires 50 years after the death of the originator, regardless of who holds copyright at that time.

Public Domain: A work that is freely available to the public is not necessarily in the public domain. For a work to be in the public domain, the originator must have specifically waived copyright to the work, or copyright must have legally expired. Work that is in the public domain can be used by anyone without copyright being violated.

Fair Dealing: A student is allowed to use copyrighted material in his or her thesis/dissertation provided it falls under the Canadian Copyright Act's definition of "fair dealing". The Canadian Copyright Act can be found here: <http://laws-lois.justice.gc.ca/eng/acts/C-42/index.html>. Information on York University's Fair Dealing Guidelines can be reviewed here: www.yorku.ca/copyright

While it is required academic practice to cite sources, proper citation does not remove the obligation to obtain documented permission to use copyrighted permission that is not covered under the "fair dealing" provisions of the Canadian Copyright Act. If a thesis/dissertation includes any of the following elements, the student should seek copyright permission. (Please note that this is not an exhaustive list. If you require additional information on York's Copyright Policy or Fair Dealing Guidelines contact the Copyright Office at copy@yorku.ca).

- Material or parts of material written by the thesis/dissertation author which have been previously published in a journal and to which the author has assigned copyright
- Material co-authored with another author(s) who share copyright
- Tables, figures, and all forms of images including photos, maps, graphs, drawings, logos etc. that have been obtained from a copyrighted source, including websites, newspapers, journals, books, brochures, professors' lecture notes, etc.
- Scripts and recordings of any performance

How to Secure Copyright Permission

In cases where a student is not certain that his or her use of copyrighted material is covered under the "fair dealing" provisions of the Canadian Copyright Act, documented permission from the copyright holder(s) must be obtained in order to include the material in the thesis/dissertation. Since securing copyright permission may take some time, it is strongly recommended that students begin this process sooner rather than later. Please note that the copyright holder must be aware of and agree to the terms of the York University Copyright License and Library and Archives Canada Thesis Non-Exclusive License.

If seeking permission from a journal, a good first step is to check the journal's website, which may provide information with respect to copyright, including advance permission to journal authors who have signed over copyright, how to request permission, and uses that are specifically prohibited. There are also a number of websites that may be helpful in determining the copyright policies of particular journals/publishers, including Sherpa Romeo (which can be found at: <http://www.sherpa.ac.uk/romeo/index.php?fIDnum=|&mode=simple&la=en>) and E-Prints (which can be found at: <http://www.eprints.org/>) Some journals and publishers provide (on their website or on request) a policy statement granting copyright permission to the author of a thesis/dissertation who signed over copyright to the journal/publisher. In such cases, retain a copy of that policy statement as evidence of documented permission.

Alternatively, a student should contact the copyright holder. Sample text for a copyright permission request is included below. Although email proof of permission is acceptable, please note that an original, signed letter on the copyright holder's letterhead is the best protection against accusations of copyright violation.

Students should provide copies of any required copyright permissions prior to submission of their final thesis/dissertation to the thesis coordinator in the Office of the Dean, Graduate Studies. Students should also retain copies of all copyright permission requests and approvals.

Sample Text – Copyright Permission Request

[Date]

[Name]

[Address]

Re: Request for Permission to Use Copyrighted Material in a Thesis/Dissertation

Dear:

I am a York University student preparing my thesis/dissertation for submission as part of the requirements of my master's/doctoral degree in [program]. The title of my [thesis/dissertation] is: [...]

The reason I am writing is to ask permission to include the following material in my thesis/dissertation: [Provide standard reference information for the material, including figure/table number, if any, and page numbers. If appropriate, you can also briefly describe the manner/context in which the material will be used in thesis/dissertation.] The material will be fully cited in my thesis/dissertation.

In the interest of facilitating research by others, my thesis/dissertation will be available on the internet for reference, study and/or copy. The electronic version of my thesis/dissertation will be accessible through the York University Libraries website and catalogue, and also through various web search engines. I will be granting Library and Archives Canada a non-exclusive license to reproduce, loan, distribute, or sell single copies of my thesis by any means and in any form or format. These rights will in no way restrict republication of the material in any other form by you or by others authorized by you.

Could you please confirm in writing or by email that these arrangements meet with your approval. If you do not solely control the copyright in the material, please let me know as soon as possible. I would also appreciate any information you can provide about others to whom I should write to request permission.

If you would like to confirm permission in writing, you can do so by signing and completing the information below and returning this signed and completed letter in the enclosed self-addressed stamped envelope by [date].

If you would like to confirm permission by email, my email address is [...].

Sincerely,
[Your Name and Signature]

I, the undersigned, hereby represent and warrant that I have authority to grant the permission requested and do grant the permission.

Signature:

Name:

York University Thesis, Dissertation and Supervision Guidelines for Electronic
Submission of the Thesis or Dissertation
September 30, 2013 *Pending Senate Approval*

Citations of Sources

Students must include full citations for any copyrighted material used in their thesis/dissertation regardless of source, including photos, pictures, charts, graphs and tables.

Each citation must include the copyright symbol, name of the copyright holder (who may or may not be the author), and, if applicable, a statement that the use of the material or adaptation (in the case of adapted graphics) is by permission of the copyright holder.

Unable to Secure Copyright Permission

In cases where use of copyrighted material is not covered under the "fair dealing" provisions of the Canadian Copyright Act and a student is unable to secure permission from the copyright holder (or there is a charge for obtaining permission), the material in question must be removed from the thesis/dissertation. In its place, the student should indicate that the material has been removed because of copyright restrictions.

Depending upon the nature of the material, the student may want to include additional information. In the case of a figure or image that has been removed, a description of the missing material and a full citation of source material and where it can be found (including, if possible, a link to an online source) would be helpful to those reading the thesis/dissertation. In the case of a chapter that was previously published in a journal, an abstract of the chapter content and link to the journal website where the article can be found could be provided.

Intellectual Property

The Faculty of Graduate Studies recognizes the mission of the university to seek, preserve, and disseminate knowledge and to conduct research in a fair, open, and morally responsible manner.

In such regard, the Faculty of Graduate Studies believes that intellectual property rights are divided among several interests, and that the rights and obligations of various claimants should be specified, fairly regulated, and that disputes arising may be mediated. All parties (students and faculty) are expected to behave in an ethically appropriate manner beyond their immediate graduate student/supervisory relationship, to encompass intellectual property rights, dissemination of research data, and in making decisions on authorship and publication of joint research.

Because of the varied cultural aspects and practices that differ among the graduate programs, each program is responsible for enacting and enforcing this policy of appropriate ethical practices on intellectual property rights, in compliance with the *Faculty Policy on Intellectual Property for Graduate Programs*. Programs which choose not to enact their own specific policy are bound by the *Faculty Policy on Intellectual Property for Graduate Programs*, which can be found here: http://www.yorku.ca/grads/current_students/intellectual_property.html

Section 3: Organization & Technical Requirements

Standard Components and Pagination

Although the form, style, sections, etc. of main body (text) of the thesis/dissertation may differ from program to program, all theses/dissertations must include the following components in the following order.

Front Matter

The front matter of the thesis/dissertation must be numbered with lower case Roman numerals. The page number should not be included on the title page, although the title page is considered page i. Numbering must be included starting with the abstract, as page ii, and continue until the end of the front matter, as follows:

Title Page	No number appears
Abstract	Numbered as : ii
Dedication (optional)	Numbered as: iii
Acknowledgments (optional)	Numbered as: iv
Table of Contents	Numbered as: v
List of Tables, if appropriate	Numbered as: vi
List of Figures, if appropriate	Numbered as: vii
List of Illustrations, if appropriate	Numbered as: ix

Text (Main Body)

The main body of the thesis/dissertation, starting with the introduction or chapter one, must be numbered with Arabic numerals, beginning with the number 1. Each chapter of the main body must begin on a separate page. Footnotes and/or endnotes are considered part of the main body of the thesis/dissertation.

Back Matter

The back matter of the thesis/dissertation includes references (or the bibliography), as well as any appendices, glossaries, indexes, where and as applicable. The back matter must be numbered with Arabic numerals, which should follow from the last page of the main body of the thesis/dissertation.

Each appendix must be assigned an alphabetical letter and title, (e.g., Appendix A: Title). Appendices are ordered in the same sequence as they are referred to in the body of the text; that is, the appendix first mentioned in the text is assigned the letter A, the second is B, etc. Materials in the appendices that are copied from other sources must meet the same requirements as the body of the paper, for example, copies or scans from books, maps, etc., must be clear and legible, and must maintain the same margins.

Technical Requirements

Title Page Format

A sample title page is provided below. The title page should include the following information:

- Thesis/Dissertation Title: The title should provide a concise and meaningful description of the thesis/dissertation. It is recommended that the title include key words to make the thesis/dissertation more easily searchable. It is also recommended that formulas, Greek letters, symbols and abbreviations be avoided in the title, and that they be written out as words instead.
- Student Name: The name on the title page must be the one under which the student is registered at York University.
- All title pages must include the following statement: A Dissertation* submitted to the Faculty of Graduate Studies in Partial Fulfillment of the Requirements for the Degree of Doctor of Philosophy* [*For a master's thesis, replace "Dissertation" with "Thesis", and indicate the master's degree designation (e.g. Master of Arts, Master of Science, Master of Fine Arts) in place of "Doctor of Philosophy"]
- Program and Institution: Name of Program [e.g. English, Biology, Music], York University, Toronto, Ontario
- Date: The month and year that the Chair of the Examining Committee confirmed successful defense of the thesis/dissertation
- Copyright: The universal copyright symbol ©, followed by the student name (which must be the name under which the student is registered at York University) and year that the Chair of the Examining Committee confirmed successful defense of the thesis/dissertation.

The information on the title page may be centered, as long as all margins are at least 1 inch (25 mm). The font of the title page need not be the same as that used in the sample title page provided below.

Abstract Guidelines

Each thesis or dissertation must contain an abstract. The abstract is expected to give a succinct account of the thesis/dissertation so that a reader can decide whether to read the complete work.

For master's theses, the abstract cannot exceed 150 words, while, for doctoral dissertations, the abstract cannot exceed 350 words. . An abstract contains a statement of the problem, the procedure or methods used, the results and the conclusions.

The abstract should be inserted immediately following the Title Page, and should be numbered "ii".

Acknowledgements Page

An acknowledgements page may be included.

Table of Contents

The Table of Contents, List of Tables and List of Figures, where applicable, should follow the abstract (or acknowledgements, if any). Curriculum vitae, list of student-authored publications, or conference presentations do not form part of the contents of the thesis/dissertation. A truncated version of the Table of Contents should not precede each chapter.

Page Size

The document must be formatted using letter sized pages (8.5 x 11 inches).

Font

The same font type (e.g. Arial or Times New Roman) should be used throughout the thesis/dissertation, particularly the main body.

The font size of the main body of the thesis/dissertation must be a minimum of 10 points, with smaller font sizes permitted for endnotes/footnotes, graphs, formulae, appendices, etc. A font size larger than 12 points is not recommended for the main body of the thesis/dissertation.

Line Spacing

The line spacing must be at least one-and-a-half (1.5) spaces or double-spaced. Single spacing may be used for long quotations and foot/endnotes.

Margins

All margins must be at least 1 inch (25 mm) Margins may be wider but not narrower than the stated requirements. For example, the first page of every chapter may have a top margin of 2.5 inches.

Running Headers

Running headers to put title, name, chapter, etc., on each page are not acceptable.

Page Number Location

All page numbers should be in a consistent location, that is either centre bottom, centre top, right top corner, or right bottom corner. They must fall at the 1 inch (25 mm) margin. There should be no blank pages or large blank spaces within the thesis or dissertation.

Diagrams and Tables

Each diagram and table should be numbered. Page numbers should appear in the same position on the page as they appear elsewhere in the body of the text. Tables may be horizontal or vertical as long as the required margins are used. Diagrams must be generated by graphic software or neatly hand drawn in black India ink and scanned.

Photographs and Images

All images included in the thesis or dissertation should be of high quality and sufficient resolution.

Sample Title Page

(Note: The information on the title page may be centered, as long as the margins are at least 1 inch (25 mm))

[THESIS/DISSERTATION TITLE]

[STUDENT NAME]

A DISSERTATION* SUBMITTED TO
THE FACULTY OF GRADUATE STUDIES
IN PARTIAL FULFILLMENT OF THE REQUIREMENTS
FOR THE DEGREE OF
DOCTOR OF PHILOSOPHY*

GRADUATE PROGRAM IN [name of program; e.g. English, Biology, Music]
YORK UNIVERSITY
TORONTO, ONTARIO

[month and year that the Chair of the Examining Committee confirmed successful
defense of the thesis/dissertation; e.g. September 2010]

© [student name, year that the Chair of the Examining Committee confirmed
successful defense of the thesis/dissertation; e.g. © Jane Student, 2010]

** For a master's thesis, replace "Dissertation" with "Thesis", and indicate the specific master's degree designation (e.g. Master of Arts, Master of Science, Master of Fine Arts) in place of "Doctor of Philosophy"*

Sample Table of Contents

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Section 4: Oral Examination

Master's Thesis Exam Committees

Composition of Committee

A thesis examining committee shall consist of at least three voting members, including the Chair, as follows:

- a) two graduate faculty members chosen from the program and/or supervisory committee, at least one of whom must be from the supervisory committee;
- b) one graduate faculty member at arm's length from the thesis, and normally from outside the program.

The Chair of the examining committee shall be chosen from among the voting members. Members of the student's thesis supervisory committee may be members of the examining committee, but the principal supervisor may not serve as the Chair of the examining committee.

These are minimum requirements with respect to the composition of and quorum for thesis examining committees. Individual graduate programs may include one additional voting member on examining committees, in accordance with program requirements and procedures.

In exceptional circumstances, the Dean may approve a program director's recommendation that a York University faculty member who is not a member of the graduate faculty serve as a member (but not the Chair) of an examining committee. Such recommendations are to be accompanied by a brief rationale and an up-to-date curriculum vitae, which may be attached to the Recommendation for Oral Examination Form, which can be found here:

http://www.yorku.ca/grads/faculty_staff/forms/RecommendationOralExam_Masters.pdf

In addition to the voting members, the thesis examining committee may include the following ex-officio members (non-voting, unless present as one of the voting members named above): Vice-President Academic & Provost, Dean of the Faculty of Graduate Studies or his/her representative, Graduate Program Director.

Approval Timelines

The membership of each master's thesis exam committee, including designation of the Chair, must be recommended by the appropriate graduate program director for approval and appointment by the Dean of Graduate Studies as soon as possible and no later than three weeks before the date set for the oral examination.

Copies of the master's thesis approved by the supervisory committee must be provided to the members of the examining committee no less than three weeks before the date of the oral examination.

Approval Process

Prior to the establishment of a master's thesis exam committee, the student's supervisory committee must read the thesis and agree that the version read is ready to proceed to oral examination.

Following agreement by the supervisory committee that the thesis is ready to proceed to oral examination, recommendation for membership of a master's thesis exam committee (as well as the date and location of the oral exam) is formally initiated by the graduate program director via submission of a Recommendation for Oral Examination Form to the thesis coordinator in the Office of the Dean, Graduate Studies. The form can be found here:

http://www.yorku.ca/grads/faculty_staff/forms/RecommendationOralExam_Masters.pdf

Final approval of master's thesis exam committee membership recommendations rests with the Dean of the Faculty of Graduate Studies.

Scheduling of Master's Thesis Oral Exams

Approval of Date, Time and Location of Oral Examinations

In consultation with the student and the members of the exam committee, the graduate program director will recommend the date, time and location of an oral exam via submission of a Recommendation for Oral Examination Form, which can be found here:

http://www.yorku.ca/grads/faculty_staff/forms/RecommendationOralExam_Masters.pdf

Oral examinations for master's theses shall be held normally no less than three weeks from the date on which copies of the completed thesis approved by the supervisory committee are sent to each member of the examining committee.

The student must be registered as active for the term in which the oral exam is scheduled to take place.

Number and Nature of Thesis Copies Required for an Oral Exam

Number of Copies

The number of copies of a thesis required for an oral exam depends upon the number of members on the exam committee. A thesis exam committee consists of at least three voting members, including the Chair. However, it is often the case that more than three copies of the thesis are required for an oral exam. The thesis supervisor or program director will inform the student how many copies of the thesis are required for the exam.

Nature of Copies

The student is responsible for ensuring that all members of the exam committee have a paper copy of the thesis, unless prior approval has been received for the submission of an e-copy. (If e-copies are submitted for the oral exam, the pagination and formatting of each page of the e-copies and the paper copies must match.)

For a complex electronic thesis, the student is responsible for ensuring that all members of the exam committee have a paper copy of the written component of the thesis, unless prior approval has been received for the submission of an e-copy. (If e-copies are submitted for the oral exam, the pagination and formatting of each page of the e-copies and the paper copies must match.) For the remaining component of the work, it is the student's responsibility to ensure that the work produced for the thesis can be examined by the examining committee. Students producing a multimedia thesis should consult with the Theses Canada Portal (www.nlc-bnc.ca/thesescanada) on the Library and Archives Canada website for advice on formats supportable for preservation. However, a student may work in/submit work in an unsupported format as part of the oral exam as long as the work is readily accessible by the exam committee and the student submits a written component.

For a multimodal thesis, the student is responsible for ensuring that all members of the exam committee have a paper copy of the written component of the thesis, unless prior approval has been received for the submission of an e-copy. (If e-copies are submitted for the oral exam, the pagination and formatting of each page of the e-copies and the paper copies must match.) For the remaining component of the work, it is the student's responsibility to make arrangements for the exam committee to view/engage in the non-written component.

Final Confirmation Prior to Oral Examination

Before an oral examination can be convened, a majority of the exam committee members must agree that the thesis is examinable. The graduate program director shall poll the members of the exam committee one week before the scheduled date for the oral. If the student does not receive a majority vote, the members of the examining committee who do not agree that the thesis is examinable are required to give their reasons in writing to the student, the supervisor, and the Dean within one week after the poll. In such cases, the oral shall be postponed for a period not to exceed one year. However, the student has the right to insist that the oral proceed as planned.

Participation in Oral Exam Through Alternative Means

Members of the examining committee are normally expected to attend the oral examination in person, except where decanal permission for the use alternative technologies such as video- or teleconferencing has been granted. The rationale for this examination mode must be made by the program to the Dean. Normally, no more than one member of an examining committee should be linked to the examination process through alternative means. Only in exceptional circumstances would the supervisor, an internal York member, or the student be the off-site participant.

Rescheduling an Oral Exam

With the consent of the voting members of the examination committee, the program director and the student, the Dean may approve a recommendation that an oral examination be rescheduled due to exceptional circumstances.

Use of Audio-Visual Equipment at Oral Exams

The use of audio-visual (AV) equipment at oral exams is governed by the following principles:

- AV equipment may be used for oral exam presentations but the Faculty of Graduate Studies is not responsible for ordering supplies or equipment (e.g., overhead projectors).
- Audio-taping or videotaping of oral exams is not permitted.

Public Attendance at Oral Exams

The oral exam is a public academic event. Faculty members, graduate students and others may attend oral exams at the discretion of the Chair of the exam committee. They may, at the discretion of the Chair, participate in the questioning. Only members of the exam committee may be present for the evaluation and for the vote at the conclusion of an oral exam.

Master's Thesis Oral Exam Evaluation Guidelines and Reporting of Results

Evaluation Guidelines

- 1) Master's theses submitted by students in partial fulfillment of degree requirements must be successfully defended at oral examinations. The oral examination will centre on the thesis.
- 2) The thesis oral examination requirement is met if one of the following two situations exists:
 - a) the committee accepts the thesis with no revisions; or,
 - b) the committee accepts the thesis with specified revisions.
- 3) Specified revisions could range from typographical errors or changes of a minor editorial nature, to specified insertions or deletions which do not radically modify the development/argument of the thesis. The committee must specify such changes with precision. It is the responsibility of the supervisor to ensure that all such changes are made and the Chair will confirm that this is the case. Specified revisions must be completed within six months of the date of the oral examination.
- 4) In cases where there is one vote for major revision, specified revisions are expected.
- 5) A thesis is referred for major revision if any of the following conditions exist:
 - (i) the committee agrees that the thesis requires substantive changes in order to be acceptable; or,
 - (ii) there are a minimum of two votes for major revision; or,
 - (iii) there is one vote for failure.
- 6) In cases of major revision, one of the following procedures, agreed upon by the committee before the examination is adjourned, must be used to finalize the oral results:
 - a) the committee will reconvene within twelve months to continue the oral examination; or,
 - b) the revised thesis will be circulated within twelve months to all members, who will inform the Chair whether they feel the stipulated requirements have been met.
- 7) Detailed reasons for referring pending major revisions must be supplied in writing by the Chair to the Dean, the program director and the student within two weeks.
- 8) After an adjournment and when the major revisions have been completed, the thesis is failed if there are two or more votes for failure. A thesis cannot be referred for major revisions more than once and no further adjournment is permitted. In the event of failure, detailed reasons must be supplied in writing by the Chair to the Dean, program director and student within two weeks.
- 9) A thesis is failed if there are a minimum of two votes for failure. In the event of failure, detailed reasons must be supplied in writing by the Chair to the Dean, program director and student within two weeks.

Reporting of Results

The results of the oral exam, as determined by the exam committee in accordance with the evaluation guidelines described above, are reported to the Office of the Dean, Graduate Studies, via the Oral Examination Report Form, which can be found here:

http://www.yorku.ca/grads/faculty_staff/forms/OralExamReport.pdf. The form should be signed by the Chair of the exam committee and should include, where appropriate, details regarding any required revisions under “comments”.

In accordance with the evaluation guidelines described above, the Oral Examination Report Form requires that the committee reach one of the following four decisions:

1. Accepted with No Revision

2. Accepted Pending Specified Revisions

The nature of the revisions should be agreed to by the exam committee and reported in detail on Oral Examination Report Form under “comments”. Specified revisions must be completed within six months of the date of the oral exam. Specified revisions must be completed within six months of the date of the oral exam. It is the responsibility of the supervisor to ensure that all of the specified revisions are made and the Chair will confirm that this is the case. Approval of specified revisions should be reported to the Office of the Dean, Graduate Studies, via the Revisions Approved Memorandum (which can be found here: <http://www.yorku.ca/grads/forms/revisionsapprovedmemorandum.doc>) or via email to the thesis coordinator at gsthesis@yorku.ca.

3. Referred Pending Major Revisions

In cases involving a referred pending major revisions decisions, one of the following procedures, agreed upon by the committee before the examination is adjourned, must be used to finalize the oral results: a) the committee will reconvene within twelve months to continue the oral examination, or b) the revised thesis will be circulated within twelve months to all members, who will inform the Chair whether they feel the stipulated requirements have been met.

Please note that a clear consensus must be reached by the committee as to the extent and nature of the revisions required. Detailed reasons for referring pending major revision must be supplied in writing by the Chair of the exam committee to the Dean, the program director and the candidate concerned within two weeks.

Approval of major revisions should be reported to the Office of the Dean, Graduate Studies, via the Revisions Approved Memorandum (which can be found here: <http://www.yorku.ca/grads/forms/revisionsapprovedmemorandum.doc>) or via email to the thesis coordinator at gsthesis@yorku.ca.

4. Failed

In the event of failure, detailed reasons must be supplied in writing by the Chair of the exam committee to the Dean, program director and candidate within two weeks.

Doctoral Dissertation Exam Committees

Composition of Committee

A dissertation examining committee shall consist of at least five voting members, including the Chair, as follows:

- a) The Dean of the Faculty of Graduate Studies or her/his representative, who will be at arm's length from the supervision of the dissertation, and who will serve as Chair of the examining committee;
- b) One external examiner, from outside York University, at arm's length from the dissertation, recommended by the program director;
- c) one graduate faculty member at arm's length from the dissertation, and normally from outside the program, recommended by the program director;
- d) two graduate faculty members from the supervisory committee, or one member from the supervisory committee and one graduate faculty member from the program.

These are minimum requirements with respect to the composition of and quorum for dissertation examining committees. Individual graduate programs may include one additional voting member on examining committees, in accordance with program requirements and procedures.

In exceptional circumstances, the Dean may approve a program director's recommendation that a York University faculty member who is not a member of the graduate faculty serve as a member (but not the Chair) of an examining committee. Such recommendations are to be accompanied by a brief rationale and an up-to-date curriculum vitae, which may be attached to the Recommendation for Oral Examination Form, which can be found here:

http://www.yorku.ca/grads/faculty_staff/forms/recommendationfororalexamination.pdf.

In addition to the voting members, the thesis examining committee may include the following ex-officio members (non-voting, unless present as one of the voting members named above): Vice-President Academic & Provost, Dean of the Faculty of Graduate Studies or his/her representative, Graduate Program Director.

Only under rare, exceptional and compelling circumstances can an oral examination proceed in the absence of the external examiner, and only with the express permission of the Dean. In such circumstances, the following conditions must be met:

- the external's absence must be unplanned and unavoidable (i.e. it must have been the initial intent that the external would be present);
- a written assessment of the dissertation must be received before the scheduled examination, including certification that the dissertation is examinable, and identification of any areas that need revision, or questioning and clarification at the oral exam. However, if the external examiner feels that the result of the examination depends upon the oral exam, then the external examiner shall be present or the oral exam will be postponed until the external examiner can be present or an alternative external examiner is appointed.

Approval Timelines

The membership of each committee must be recommended by the appropriate graduate program director for approval and appointment by the Dean of Graduate Studies as soon as possible and no later than four weeks before the date set for the oral examination.

Copies of the doctoral dissertation approved by the supervisory committee must be provided to the members of the examining committee no less than four weeks before the date of the oral examination. (The oral exam may be held less than four weeks from the time copies are sent to the examining committee provided all parties agree.)

Approval Process

Prior to the establishment of a doctoral dissertation exam committee, the student's supervisory committee must read the dissertation and agree that the version read is ready to proceed to oral examination.

Following agreement by the supervisory committee that the dissertation is ready to proceed to oral examination, recommendation for membership of a doctoral dissertation exam committee (as well as the date and location of the oral exam) is formally initiated by the graduate program director via submission of a Recommendation for Oral Examination Form to the thesis coordinator in the Office of the Dean, Graduate Studies. The form can be found here:

http://www.yorku.ca/grads/faculty_staff/forms/recommendationfororalexamination.pdf.

Final approval of doctoral dissertation exam committee membership recommendations rests with the Dean of the Faculty of Graduate Studies.

Selection of External Examiner

Note: The following external examiner guidelines apply to all dissertation examining committees as well as to those master's programs that require an external or outside examiner on their exam committee.

External Examiners are expected to be established academics, normally members of a graduate Faculty at another university. Students may not initiate the invitation to external examiners; this is the responsibility of the program director and/or the supervisor.

Following approval by the Dean of the program's external examiner recommendation, a formal letter of invitation will be written by the Dean to the external examiner, offering the examiner an honorarium and indicating how to claim expenses. Program directors must obtain prior approval from the Office of the Dean, Graduate Studies of external examiners' expenses above \$350; therefore, external examiners should not be invited unless approval has been obtained.

The program assistant or the supervisor (not the student), should send the external examiner's copy of the dissertation. The copy must be received by the external examiner at least 4 weeks prior to the exam. It should be accompanied, at the minimum, by generic instructions and notification that the Dean's official letter of invitation will follow (see below for generic instructions). For delivery to an Ontario university or home delivery, the minimum method used to send the dissertation should be by

Express Post. The dissertation should be well packaged to protect it from damage. A follow-up e-mail or phone call should be made to the external examiner to ensure the dissertation was received.

The external examiner will be asked to submit written comments one week in advance of the oral examination. These comments may be made available to the candidate after the oral, with the external examiner's permission.

Generic Instructions for External Examiner

The following generic instructions should be used when sending a copy of the dissertation to the external examiner.

Enclosed is your copy of the dissertation for [student's name] at whose oral examination you will serve as the external examiner.

As the external examiner, you are recognized as being an eminent person in the field of the dissertation, whose assessment will be treated as the standard by which the quality of the candidate's work will be measured. As a voting member of the committee, you do not have a formal power of veto, but the exam committee must have substantial reasons for not accepting your recommendation, especially if the recommendation is negative.

One week before the date set for the oral defense, please send a written assessment of the dissertation to Dean, Faculty of Graduate Studies. This written assessment may be sent by mail (Office of the Dean, Faculty of Graduate Studies, 230 York Lanes, York University, 4700 Keele St, North York, Ontario, M3J 1P3), by FAX (416-736- 5592) or by e-mail (gsthesis@yorku.ca).

The written assessment report should:

- outline the strengths and weaknesses of the dissertation
- be more than a statement of errata and/or questions you would pose to the student
- contain an explicit statement indicating whether the dissertation is examinable
- be written with the understanding that should the dissertation be nominated for a Dissertation Prize, the report will form part of the nomination papers
- This report will be distributed to the program director and members of the Examining Committee before the examination.
- Where the Committee deems it advisable and if you agree, the report may be made available to the student at the end of the examination.
- If you have serious doubts about the examinability of this dissertation, please contact the Graduate Program Director «GPD name» (416-736-2100, ext. «GPD telephone») or the Dean at 416-736-5329 at least one week before the date of the oral.

The formal invitation from the Dean of the Faculty of Graduate Studies will follow shortly. Thank you for your participation.

Scheduling of Doctoral Dissertation Oral Exams

Approval of Date, Time and Location of Oral Examinations

In consultation with the student and the members of the exam committee, the graduate program director will recommend the date, time and location of an oral exam via submission of a Recommendation for Oral Examination Form, which can be found here:
http://www.yorku.ca/grads/faculty_staff/forms/recommendationfororalexamination.pdf.

Oral examinations for doctoral dissertations shall be held normally no less than four weeks from the date on which copies of the completed dissertation approved by the supervisory committee are sent to each member of the examining committee. The oral exam may be held less than four weeks from the time copies are sent to the examining committee provided all parties agree.

The student must be registered as active for the term in which the oral exam is scheduled to take place.

Number and Nature of Dissertation Copies Required for an Oral Exam

Number of Copies

The number of copies of a dissertation required for an oral exam depends upon the number of members on the exam committee. A dissertation exam committee consists of at least five voting members, including the Chair. However, it is often the case that more than five copies of the dissertation are required for an oral exam. The dissertation supervisor or program director will inform the student how many copies of the dissertation are required for the exam.

Nature of Copies

The student is responsible for ensuring that all members of the exam committee have a paper copy of the dissertation, unless prior approval has been received for the submission of an e-copy. (If e-copies are submitted for the oral exam, the pagination and formatting of each page of the e-copies and the paper copies must match.)

For a complex electronic dissertation, the student is responsible for ensuring that all members of the exam committee have a paper copy of the written component of the dissertation, unless prior approval has been received for the submission of an e-copy. (If e-copies are submitted for the oral exam, the pagination and formatting of each page of the e-copies and the paper copies must match.) For the remaining component of the work, it is the student's responsibility to ensure that the work produced for the dissertation can be examined by the examining committee. Students producing a multimedia dissertation should consult with the Theses Canada Portal (www.nlc-bnc.ca/thesescanada) on the Library and Archives Canada website for advice on formats supportable for preservation. However, a student may work in/submit work in an unsupported format as part of the oral exam as long as the work is readily accessible by the exam committee and the student submits a written component.

For a multimodal dissertation, the student is responsible for ensuring that all members of the exam committee have a paper copy of the written component of the dissertation, unless prior approval has been received for the submission of an e-copy. (If e-copies are submitted for the oral exam, the pagination and formatting of each page of the e-copies and the paper copies must match.) For the remaining component of the work, it is the student's responsibility to make arrangements for the exam committee to view/engage in the non-written component.

Final Confirmation Prior to Oral Examination

Before an oral examination can be convened, a majority of the exam committee members must agree that the thesis is examinable. The graduate program director shall poll the members of the exam committee one week before the scheduled date for the oral. If the student does not receive a majority vote, the members of the examining committee who do not agree that the thesis is examinable are required to give their reasons in writing to the student, the supervisor, and the Dean within one week after the poll. In such cases, the oral shall be postponed for a period not to exceed one year. However, the student has the right to insist that the oral proceed as planned.

Participation in Oral Exam Through Alternative Means

Members of the examining committee are normally expected to attend the oral examination in person, except where decanal permission for the use alternative technologies such as video- or teleconferencing has been granted. The rationale for this examination mode must be made by the program to the Dean. Normally, no more than one member of an examining committee should be linked to the examination process through alternative means. Only in exceptional circumstances would the supervisor, an internal York member, or the student be the off-site participant.

Absence of External Examiner

Only under rare, exceptional and compelling circumstances can an oral examination proceed in the absence of the external examiner, and only with the express permission of the Dean. In such circumstances, the following conditions must be met:

- the external's absence must be unplanned and unavoidable (i.e. it must have been the initial intent that the external would be present);
- a written assessment of the dissertation must be received before the scheduled examination, including certification that the dissertation is examinable, and identification of any areas that need revision, or questioning and clarification at the oral exam. However, if the external examiner feels that the result of the examination depends upon the oral exam, then the external examiner shall be present or the oral exam will be postponed until the external examiner can be present or an alternative external examiner is appointed.

Rescheduling an Oral Exam

With the consent of the voting members of the examination committee, the program director and the student, the Dean may approve a recommendation that an oral examination be rescheduled due to exceptional circumstances.

Use of Audio-Visual Equipment at Oral Exams

The use of audio-visual (AV) equipment at oral exams is governed by the following principles:

- AV equipment may be used for oral exam presentations but the Faculty of Graduate Studies is not responsible for ordering supplies or equipment (e.g., overhead projectors).
- Audio-taping or videotaping of oral exams is not permitted.

Public Attendance at Oral Exams

The oral exam is a public academic event. Faculty members, graduate students and others may attend oral exams at the discretion of the Chair of the exam committee. They may, at the discretion of the Chair, participate in the questioning. Only members of the exam committee may be present for the evaluation and for the vote at the conclusion of an oral exam.

Doctoral Dissertation Oral Exam Evaluation Guidelines and Reporting of Results

Evaluation Guidelines

- 1) Doctoral dissertations submitted by students in partial fulfillment of degree requirements must be successfully defended at oral examinations. The oral examination will centre on the dissertation.
- 2) The dissertation oral examination requirement is met if one of the following situations exists:
 - (a) if the committee accepts the dissertation with no revisions; or,
 - (b) if the committee accepts the dissertation with specified revisions.
- 3) Specified revisions could range from typographical errors or changes of a minor editorial nature, to specified insertions or deletions which do not radically modify the development/argument of the dissertation. The committee must specify such changes with precision. It is the responsibility of the supervisor to ensure that all such changes are made, and the Dean's representative will confirm that this is the case. Specified revisions must be completed within six months of the date of the oral examination.
- 4) In cases where there are no more than two votes for major revision or one vote for failure, then specified revisions are expected.
- 5) A dissertation is referred for major revision if any of the following conditions exist:
- 6) the committee agrees that the dissertation requires substantive changes in order to be acceptable; or,
 - (a) there are two votes for failure; or,
 - (b) there is one vote for failure plus a minimum of one vote for major revision; or,
 - (c) there are at least three votes for major revision.
- 7) In the cases of major revision, one of the following procedures, agreed upon by the committee before the examination is adjourned, must be used to finalize the oral results:
 - a) the committee will reconvene within twelve months to continue the oral examination; or,
 - b) the revised dissertation will be circulated within twelve months to all members, who will inform the Dean's representative whether they feel the stipulated requirements have been met.
- 8) Detailed reasons for referring pending major revisions must be supplied in writing by the Chair to the Dean, the program director and the student concerned within two weeks.
- 9) After an adjournment and when the major revisions have been completed, the dissertation is failed if there are two or more votes for failure. A dissertation cannot be referred for major revisions more than once and no further adjournment is permitted. In the event of failure, detailed reasons must be supplied in writing by the Chair to the Dean, program director and student within two weeks.
- 10) A dissertation is failed if there are a minimum of three votes for failure. In the event of failure, detailed reasons must be supplied in writing by the Chair to the Dean, program director and student within two weeks.

Reporting of Results

The results of the oral exam, as determined by the exam committee in accordance with the evaluation guidelines described above, are reported to the Office of the Dean, Graduate Studies, via the Oral Examination Report Form, which can be found here:

http://www.yorku.ca/grads/faculty_staff/forms/OralExamReport.pdf. The form should be signed by the Chair of the exam committee and should include, where appropriate, details regarding any required revisions under “comments”.

In accordance with the evaluation guidelines described above, the Oral Examination Report Form requires that the committee reach one of the following four decisions:

1. Accepted with No Revision

2. Accepted Pending Specified Revisions

The nature of the revisions should be agreed to by the exam committee and reported in detail on Oral Examination Report Form under “comments”. Specified revisions must be completed within six months of the date of the oral exam. Specified revisions must be completed within six months of the date of the oral exam. It is the responsibility of the supervisor to ensure that all of the specified revisions are made and the Chair will confirm that this is the case. Approval of specified revisions should be reported to the Office of the Dean, Graduate Studies, via the Revisions Approved Memorandum, (which can be found here: <http://www.yorku.ca/grads/forms/revisionsapprovedmemorandum.doc>) or via email to the thesis coordinator at gsthesis@yorku.ca.

3. Referred Pending Major Revisions

In cases involving a referred pending major revisions decisions, one of the following procedures, agreed upon by the committee before the examination is adjourned, must be used to finalize the oral results: a) the committee will reconvene within twelve months to continue the oral examination, or b) the revised dissertation will be circulated within twelve months to all members, who will inform the Chair whether they feel the stipulated requirements have been met.

Please note that a clear consensus must be reached by the committee as to the extent and nature of the revisions required. Detailed reasons for referring pending major revision must be supplied in writing by the Chair of the exam committee to the Dean, the program director and the candidate concerned within two weeks.

Approval of major revisions should be reported to the Office of the Dean, Graduate Studies, via the Revisions Approved Memorandum (which can be found here:

<http://www.yorku.ca/grads/forms/revisionsapprovedmemorandum.doc>) or via email to the thesis coordinator at gsthesis@yorku.ca.

4. Failed

In the event of failure, detailed reasons must be supplied in writing by the Chair of the exam committee to the Dean, program director and candidate within two weeks.

Exam Committee Roles and Responsibilities

Graduate Program Director Roles and Responsibilities

Before an oral examination can be convened, a majority of the exam committee members must agree that the dissertation is examinable. The graduate program director shall poll the members of the exam committee one week before the scheduled date for the oral. If the student does not receive a majority vote, the members of the examining committee who do not agree that the thesis is examinable are required to give their reasons in writing to the student, the supervisor, and the Dean within one week after the poll. In such cases, the oral shall be postponed for a period not to exceed one year. However, the student has the right to insist that the oral proceed as planned.

Exam Committee Chair Roles and Responsibilities

For master's theses, the Chair of the exam committee shall be chosen from among the voting members. Members of the student's thesis supervisory committee may be members of the exam committee, but the principal supervisor may not serve as the Chair of the exam committee.

For doctoral dissertations, the Dean of the Faculty of Graduate Studies or her/his representative, who will be at arm's length from the supervision of the dissertation, will serve as Chair of the exam committee.

The Chair of the exam committee normally participates fully in the questioning of the candidate, the discussion and the vote.

In general, the role of the Chair of the exam committee is to ensure:

- that the process of oral exam is fair and orderly,
- that the student is truly being examined and challenged, and
- that high standards of scholarship are met.

Prior to the formal start of the oral exam, the Chair should:

- verify that all members of the exam committee are present. (If any member is not in attendance, the examination shall be postponed. Only under rare, exceptional and compelling circumstances can an oral examination proceed in the absence of the external examiner. Please see *Role of the External Examiner* below for more details.)
- verify that the members of the exam committee are agreed that the thesis/dissertation is "examinable". (If the thesis/dissertation is found to be unexaminable at this time, the oral exam may be postponed for a period not to exceed one year. However, the student has the right to insist that the oral proceed as planned.)
- discuss with the members of the Committee the expected length of the examination, and the order in which the exam committee will question the student.

At the outset of and during the oral exam, the Chair should:

- clarify to both the exam committee and the student the procedures to be followed,
- determine the point at which further questioning will not produce additional useful information for the consideration of the exam committee, and
- monitor the procedures throughout the oral exam.

After the candidate and any observers have left the room, the Chair should:

- assess the committee's opinion from the discussion, including whether the exam committee considers the work sufficiently outstanding to merit nomination for the Faculty of Graduate Studies Thesis/Dissertation Prize.
- If there is no consensus, the Chair should call for a vote to determine the outcome of the oral exam. The outcome of the vote shall be governed by the master's thesis oral exam evaluation guidelines or doctoral dissertation oral exam evaluation guidelines, as appropriate.
- In cases of accepted pending specified revisions, the Chair should ensure the nature of the on the Oral Examination Report Form under "comments". A clear consensus must be reached by the committee as to the extent of the revisions required.
- In cases of major revision, the Chair should confirm which of the following two procedures, agreed upon by the committee before the exam is adjourned, will be used to finalize the oral results: a) the committee will reconvene within twelve months to continue the oral examination; or, b) the revised dissertation will be circulated within twelve months to all members, who will inform the Chair whether they feel the stipulated requirements have been met.

After the exam committee has reached a decision, the Chair should:

- recall the candidate to convey the decision, including a description of any required revisions, as appropriate, and
- inform the program director if the thesis/dissertation has been nominated for the Faculty of Graduate Studies Thesis/Dissertation Prize, where applicable.

If the thesis/dissertation was *accepted with no revisions*, the Chair should:

- ensure that a properly completed and signed Oral Examination Report Form is returned to the thesis coordinator in the Office of the Dean, Graduate Studies.

If the thesis/dissertation was *accepted pending specified revisions*, the Chair should:

- ensure that a properly completed (including a clear description of the required revisions) and signed Oral Examination Report Form is returned to the thesis coordinator in the Office of the Dean, Graduate Studies. It is the responsibility of the supervisor to ensure that all of the specified revisions are made and the Chair will confirm that this is the case. Specified revisions must be completed within six months of the date of the oral exam.
- Approval of specified revisions should be reported to the Office of the Dean, Graduate Studies, via the Revisions Approved Memorandum (which can be found here: <http://www.yorku.ca/grads/forms/revisionsapprovedmemorandum.doc>) or via email to the thesis coordinator at gsthesis@yorku.ca.

In cases of *referred pending major revisions*, the Chair should:

- ensure that a properly completed and signed Oral Examination Report Form (including a clear description of the required revisions) is returned to the thesis coordinator in the Office of the Dean, Graduate Studies, and
- provide detailed reasons for the exam committee's decision in writing to the Dean, program director and student within two weeks of the oral exam.

When major revisions have been completed satisfactorily as decided by the exam committee, the Chair should:

- Report approval of the major revisions to the Office of the Dean, Graduate Studies, via the Revisions Approved Memorandum (which can be found here:

<http://www.yorku.ca/grads/forms/revisionsapprovedmemorandum.doc>) or via email to the thesis coordinator at gsthesis@yorku.ca.

In cases of *failure*, the Chair should:

- ensure that a properly completed and signed Oral Examination Report Form is returned to the thesis coordinator in the Office of the Dean, Graduate Studies, and
- provide detailed reasons for the exam committee's decision in writing to the Dean, program director and student within two weeks of the oral exam.

Exam Committee Members Roles and Responsibilities

The exam committee members have the responsibility of ensuring that high standards of scholarship are met.

The “at arm’s length from the thesis/dissertation” committee member has a particular responsibility of ensuring that these high standards of scholarship are met from a perspective broader than that of the student’s own program. Such exam committee members who are appointed to the student’s program should be especially mindful of this responsibility.

External Examiner Roles and Responsibilities

Note: All doctoral dissertation exam committee must include an external examiner. The following description of external examiner roles and responsibilities also applies to those master’s programs that require an external or outside examiner on their exam committee.

External examiners are expected to be established academics, normally members of a graduate Faculty at another university. The assessment of the dissertation provided by the external examiner should be treated as the yardstick by which to measure the quality of the candidate’s work relative to standards at other universities. The external examiner is a voting member of the Committee and must have been at arm’s length from the dissertation. The external examiner does not have a formal power of veto, but the exam committee must have substantial reasons for not accepting an external examiner’s recommendation, especially if the recommendation is negative. The external examiner’s written comments will be provided to the other members of the exam committee prior to the oral exam and, where the exam committee deems advisable and the external examiner agrees, may be made available to the student at the end of the oral exam. Only under rare, exceptional and compelling circumstances can an oral examination proceed in the absence of the external examiner, and only with the express permission of the Dean. In such circumstances, the following conditions must be met:

- the external’s absence must be unplanned and unavoidable (i.e. it must have been the initial intent that the external would be present);
- a written assessment of the dissertation must be received before the scheduled examination, including certification that the dissertation is examinable, and identification of any areas that need revision, or questioning and clarification at the oral exam. However, if the external examiner feels that the result of the examination depends upon the oral exam, then the external examiner shall be present or the oral exam will be postponed until the external examiner can be present or an alternative external examiner is appointed.

Ex-officio Committees Member Roles & Responsibilities

In addition to the voting members, the Vice-President Academic & Provost and Graduate Program Director may participate as ex-officio members (non-voting, unless present as one of the voting members) on doctoral dissertation exam committees. They, along with the Dean of the Faculty of Graduate Studies or his/her representative, may also participate as ex-officio members (non-voting, unless present as one of the voting members) on master's thesis exam committees.

As the oral examination is the culmination of a graduate student's study and advances the mission of York University as a whole, the inclusion of these positions as ex-officio members of the thesis and dissertation exam committees recognizes and emphasizes the importance of the oral exam. Due to the nature of the workload of the incumbents in these positions, they are not expected to attend every oral exam. When they do attend in their capacity as ex-officio members, they are encouraged to be active participants, but they do not vote.

Oral Exam Procedural Guidelines

- 1) For all doctoral dissertation oral exams and for those master's programs that require an external or outside examiner, the written comments provided by the external examiner will be made available to the committee prior to the oral exam.
- 2) At the oral exam, the student may be given the opportunity to present an oral summary of his or her work. If this procedure is followed, the Chair of the exam committee will inform the student and indicate the time available.
- 3) Normally, the first round of questions will refer to general aspects of the work. Subsequent questions will deal with more detailed matters. For all doctoral dissertation oral exams and for those master's programs that require an external or outside examiner, the external examiner will normally begin each round of questioning and will be followed by the other members of the committee in an order agreed upon before the exam.
- 4) The Chair of the exam committee will ensure that each member of the exam committee has an equal opportunity to pose questions. After the formal rounds of questioning, general discussion and order of further questioning will be at the Chair's discretion.
- 5) The question period should normally run its natural course, with members of the exam committee indicating when they are satisfied. The Chair of the exam committee will, however use his/her discretion as to the appropriate closing point. For a master's thesis, a general guideline for the length of the oral exam is approximately 10 to 20 minutes for presentation (if applicable) and 1.5 hours for questioning. For a doctoral dissertation, a general guideline for the length of the oral exam is 20 to 40 minutes for presentation (if applicable) and 2 hours for questioning.
- 6) After the candidate and any observers have left the room, the exam committee will discuss the work and the oral defense of that work, the discussion beginning with the external examiner's remarks.
- 7) The Chair of the exam committee will then assess the committee's opinion from the discussion.
- 8) If there is no consensus, the Chair of the exam committee will call for a vote to determine the outcome of the oral exam. The outcome of the vote shall be governed by the master's thesis oral exam evaluation guidelines and doctoral dissertation oral exam evaluation guidelines.
- 9) In cases of *accepted pending specified revisions*, the nature of the revisions will be agreed to by the exam committee and reported in detail by the Chair in the "comments" section of the Oral Examination Report Form.
- 10) In cases of *major revision*, the Chair of the exam committee will confirm which of the following two procedures, agreed upon by the committee before the exam is adjourned, will be used to finalize the oral results: a) the committee will reconvene within twelve months to continue the oral examination; or, b) the revised dissertation will be circulated within twelve months to all members, who will inform the Chair whether they feel the stipulated requirements have been met.

- 11) After the exam committee has reached a decision, the candidate will be recalled and informed by the Chair of the outcome of the examination. Should revisions be required, their exact nature will be transmitted to the student by the Chair.
- 12) The written comments of the external examiner will, with his or her permission, be provided to the student and program director.
- 13) The Oral Examination Report Form will be properly completed (including, where appropriate, a clear description of required revisions) and signed by the Chair and returned to the thesis coordinator in the Office of the Dean, Graduate Studies.
 - In cases of *accepted pending specified revisions*, it is the responsibility of the supervisor to ensure that all of the specified revisions are made and the Chair will confirm that this is the case. Specified revisions must be completed within six months of the date of the oral examination. Approval of specified revisions should be reported to the Office of the Dean, Graduate Studies, via the Revisions Approved Memorandum (which can be found here: <http://www.yorku.ca/grads/forms/revisionsapprovedmemorandum.doc>) or via email to the thesis coordinator at gsthesis@yorku.ca.
 - In cases of *referred pending major revisions* or *failure*, the Chair will provide detailed reasons for the exam committee's decision in writing to the Dean, program director and student within two weeks of the oral exam. When major revisions have been completed satisfactorily as decided by the exam committee, the Chair should report approval of the major revisions to the Office of the Dean, Graduate Studies, via the Revisions Approved Memorandum (which can be found here: <http://www.yorku.ca/grads/forms/revisionsapprovedmemorandum.doc>) or via email to the thesis coordinator at gsthesis@yorku.ca.

Section 5: Final Thesis/Dissertation Submission

Graduation & Convocation

Following a successful oral exam (including confirmed approval of any specified revisions or major revisions), submission by the student of the final approved thesis/dissertation is a requirement for graduation and convocation.

The thesis or dissertation is submitted electronically using York University's Electronic Thesis and Dissertation (ETD) platform. The thesis coordinator in the Office of the Dean, Graduate Studies, will check that the thesis/dissertation meets the Faculty's organizational and technical requirements, and has the right to refuse any unacceptable document until it is submitted in acceptable form. Once the submission is approved and all requirements for graduation are met, the thesis/ dissertation will be transferred to YorkSpace, York University's institutional repository of research outputs, where it will be accessible to Library and Archives Canada as well as major search engines and other repositories.

Fees & Submission Deadlines

The degree completion date is NOT based on the date of the oral examination; it is based on the date of submission to the Office of the Dean, Graduate Studies of the acceptable final approved copy. Students are responsible for all tuition fees until the final copy is submitted to and approved by the Office of the Dean, Graduate Studies.

Submission deadlines with respect to convocation can be found here:

http://www.yorku.ca/grads/current_students/important_dates.html

Submission Procedures and Required Forms/Documents

An ETD record will be created for each student by the thesis coordinator in the Office of the Dean, Faculty of Graduate Studies once all of the following have been received:

- Oral Examination Report (passed)
- Revisions Approved Memorandum, if applicable
- Library and Archives Canada Theses Non-Exclusive License form, signed and dated
- Copies of copyright permissions (if applicable)

Once an ETD record is opened, the student will receive an email with instructions on how to log in and complete their submission. Students should ensure that they have followed the organization and technical requirements for theses/dissertations prior to making a submission to the Office of the Dean, Graduate Studies through the ETD platform. If, after reading the Organization & Technical Requirements section of this handbook, students have any questions concerning formatting and preparation, they should direct these questions to the thesis coordinator. Instructions for the use of the ETD platform are available on the York University website here:

http://www.yorku.ca/grads/policies_procedures/thesis_dissertations_index.html

By signing the Library and Archives Canada (LAC) Theses Non-Exclusive License form, the student authorizes LAC to reproduce, publish, archive, preserve, conserve, communicate to the public, loan,

distribute and sell the thesis/dissertation for commercial or non-commercial purposes. Further information about the Non-Exclusive License and the Library & Archives Canada thesis program is available on the Library and Archives Canada website, which can be found here:

<http://www.collectionscanada.gc.ca/thesescanada/index-e.html>

The student must also accept the terms of the York University Copyright License as part of the electronic submission of their thesis/dissertation using the Electronic Thesis and Dissertation (ETD) application.

If required, students should provide copies of any needed copyright permissions prior to the final thesis/dissertation submission. Students should also retain copies of all copyright permission requests and approvals.

Supplementary Files

Supplementary files refer to items that are part of the approved, examined thesis/dissertation that cannot be included in the PDF thesis/dissertation, such as multi-media, sound, video or hypertext.

All supplementary files will be made available only to the York University Libraries and not to Library and Archives Canada as Library and Archives Canada does not archive these materials at this time.

Binding

Students who wish to have personal copies of the thesis/dissertation bound must make their own arrangements.

Delay of Publication/Restricted Access

As a publicly funded institution, York University has an obligation to ensure that research produced by its graduate students is available for the benefit of the public, particularly by making successfully defended theses and dissertations available through York University Libraries and Library and Archives Canada. With that in mind, there is normally no restriction on the publication of and access to successfully defended theses and dissertations. However, in some exceptional instances it may be detrimental to the author or sponsor of the thesis/dissertation research to have the thesis/dissertation publicly available immediately following a successful defense. Valid reasons to delay publication/restrict access to a successfully defended thesis/dissertation may include an approved intellectual property contract between a research sponsor and the University that specifies a period of confidentiality; that public distribution of the thesis/dissertation would invalidate a patent application; and, that public distribution of the thesis/dissertation would invalidate a publication contract.

Prior to submission of the final version of their thesis/dissertation to the thesis coordinator, students may request to delay (or to extend a previously approved delay) publication of/restrict access to their thesis/dissertation for a maximum of three years. Such requests must be made to the Dean of the Faculty of Graduate Studies prior to submission of the final version of the thesis/dissertation, and will be considered only on the recommendation of the student's supervisor and graduate program director. If approved, the body of the thesis/dissertation will be withheld from York University Libraries and Library and Archives Canada for the approved period. At the end of the approved period, the body of the

thesis/dissertation will be released to York University Libraries and Library and Archives Canada via YorkSpace.