

# Department of Dentistry Graduate Program Manual 2009



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## Department of Dentistry – Graduate Program Manual

The Department of Dentistry offers the MSc and PhD in Medical Sciences degrees for post-DDS applicants or for those proceeding from a BSc or equivalent degree. Students may specialize in the following areas: Dentistry, Oral Biology, Orthodontics or TMD/Orofacial Pain. Information regarding graduate programs, research activities and recent publications of all staff members in the Department of Dentistry can be found on the department's web page: [www.dent.ualberta.ca](http://www.dent.ualberta.ca).

The Faculty of Graduate Studies and Research (FGSR) is responsible for the general administration of graduate programs, from the admission and registration of graduate students through to convocation. It is ultimately responsible for the admission of students; for the setting of minimum entrance and minimum academic standing requirements, and for ensuring that these are met; for approving all changes to students' programs; the appointment of the supervisor, supervisory committees and examining committees; and for submitting to the Council of the Faculty of Graduate Studies and Research for approval of changes affecting policy, general and degree regulations, and so on.

**Graduate students should make themselves aware of the contents of the graduate portions of the Calendar and take responsibility for their own programs in that the Calendar sets out the requirements for the various programs.**

### Admissions

Applications must be made on-line (Bear Tracks) and requires a \$100 application fee  
<https://www.beartracks.ualberta.ca/psp/uahebrd/?cmd=login&languageCd=ENG&>

The following documents must be included:

- Official documents (transcripts from all post-secondary institutes attended, degree certificate)
  - GPA minimum of 3.0 on 4-point scale based on equivalent of two years (or 60 credits) of coursework
- Three letters of recommendation (on letterhead)
- CV form
- Letter of intent
- If required, TOEFL or other English language proficiency exam – see <http://gradfile.fgsro.ualberta.ca/> for other options
  - Minimum score of 580 paper-based
  - Minimum score of 95 (with at least 20 per section) internet-based
- For the MSc and PhD (Dentistry, Oral Biology) and the PhD (Ortho) programs, acceptance of an application is contingent on the availability of a potential supervisor.
- Students enrolled in the PhD (Ortho) program will not have the option of transferring to the MSc (Ortho) program.

## Deadlines (Departmental)

Admission	Application	Programs	Application Deadline (complete)
Fall Term	Canadian	Dentistry – MSc, PhD Oral Biology – MSc, PhD Orthodontics – PhD Orthodontics – MSc TMD/Orofacial Pain - MSc	June 1 June 1 June 1 October 1 October 1
	International	Dentistry – MSc, PhD Oral Biology – MSc, PhD Orthodontics – PhD Orthodontics – MSc TMD/Orofacial Pain - MSc	June 1 June 1 June 1 October 1 October 1
	China (PRC)	Dentistry – MSc, PhD Oral Biology – MSc, PhD Orthodontics – PhD Orthodontics – MSc TMD/Orofacial Pain - MSc	April 1 April 1 April 1 October 1 October 1
Winter Term	Canadian	Dentistry – MSc, PhD Oral Biology – MSc, PhD Orthodontics – PhD	October 1 October 1 October 1
	International	Dentistry – MSc, PhD Oral Biology – MSc, PhD Orthodontics – PhD	October 1 October 1 October 1
	China (PRC)	Dentistry – MSc, PhD Oral Biology – MSc, PhD Orthodontics – PhD	August 1 August 1 August 1

If the application is found to be acceptable, the complete file goes to in order:

- Interested supervisor, or if not specified, Dentistry faculty willing to accept a graduate student
- Graduate Coordinator
- Graduate Committee
- Medical Sciences Committee (MSC)
- Faculty of Graduate Studies and Research (FGSR) (original application sent to FGSR with a photocopy kept on file by the Department of Dentistry)
- FGSR acceptance letter sent via e-mail and post to student
- Refusal sent via e-mail, post or by coding in Bear Tracks to student
- Appeals do not have to be entertained by the Department, MSC or FGSR

## Further detailed information:

Admission requirements:

- [http://www.gradstudies.ualberta.ca/applyadmission/admission\\_requirements.htm](http://www.gradstudies.ualberta.ca/applyadmission/admission_requirements.htm)

How to apply:

- <http://www.gradstudies.ualberta.ca/apply/index.htm>

Graduate Manual Admissions Information:

- <http://www.gradstudies.ualberta.ca/gradmanual/five.htm>

## Recruitment Travel Funds for Prospective Students

The FGSR has a limited budget to help departments bring outstanding potential MSc or PhD students to the University of Alberta for a campus visit. The funding – which must be matched by an equal amount from the Department – is available on a first-come, first-served basis. The maximum available per student is \$1,000 (total of \$2,000 including department matching funds). The amount awarded will be determined by the estimated travel cost provided by the department. A “Request for Recruitment Travel Fund” form must be completed outlining:

- Reason the department is interested in this student.
- Reason for the campus visit (e.g. the student holds a major scholarship or is being actively recruited by another institution).
- Estimate of travel and accommodation costs.
- Recruitment travel funds: <http://www.gradstudies.ualberta.ca/facstaff/recruittravel.htm>

## Course Requirements and Registration

Because of the diverse nature of the department’s programs, course requirements:

- Vary from student to student in accordance with the Medical Sciences Graduate Program (MSGP).
- Are determined by the program in accordance with the MSGP.
- Are set within the first year of the student’s program.

***In order to keep their programs active, students registered in thesis-based MSc and Doctoral programs must register each year in course work/or thesis research. Students who have registered in Winter session and are working only on their thesis research from May to August do not need to register separately for that period.***

***All students must be enrolled in a minimum of 9 credits (9\*) MSc or 12 credits (12\*) PhD each year. This is normally a combination of course work and thesis research.***

## Responsibility for Registration

Students are responsible for familiarizing themselves with the requirements and limitations of their programs as specified in each Faculty section of the Calendar, for ensuring that their programs are properly planned and in accordance with degree specifications, and for the completeness and accuracy of their registration.

They are also responsible for adjustments in registration made necessary by changes to their academic status.

Students are required to register themselves in their courses each year. If assistance or departmental approval is required please contact the Graduate Programs Admin Assistant in Rm 2089 Dent/Pharm.

Further information: <http://www.med.ualberta.ca/Home/Education/MScPhD/MSGP/courses.cfm>

### **Qualifying Students:**

This category is used for students who are considered to be inadequately prepared to enter a graduate program in their subject area, but whose academic background entitles them to serious consideration. A qualifying year may be taken in order to judge the student's capability of completing a degree program in which courses are specified by the department but not credited toward a subsequent degree program. Completion of a qualifying year does not automatically entitle the student to proceed toward a degree program.

### **MSc (thesis-based) degree:**

Students must be enrolled in 9 units of credit (9\*) each year. Over the duration of their program students must register in and be assessed fees for a minimum of 24 units (24\*) of credit which may consist of a combination of course and thesis research prior to the defence of their thesis. Thesis-based MSc students have four years to complete their program. This timeline begins with the first term you are registered in the program and does not include any time spent as a qualifying graduate student.

### **MSc (course-based) degree:**

Students must be enrolled in 9 units of credit (9\*) each year. Students must complete 30 units of course weight and a final capping exercise prior to completion of their program. The course-based MSc degree offered by the Department of Dentistry is to be completed within two years of the start of the program. This timeline begins with the first term you are registered in the program and does not include any time spent as a qualifying graduate student.

### **PhD degree:**

Students must complete 12 units of credit (12\*) each year. Students must complete 36 units of course weight prior to their final oral examination. Normally, by the end of the 1<sup>st</sup> year of a PhD program, the supervisory committee will submit to the Graduate Studies Committee a list of the courses the student has/will take that are directly related to their research topic. Doctoral students have six years to complete their program, beginning with the first term the student is registered in the program.

## **Thesis 919 (Reduced Fee Thesis)**

Thesis 919 was established to ease the financial costs for full-time, continuing MSc and PhD students in the latter years of their program.

- **Eligibility:** The student must be in a non-cost recovery doctoral or master's thesis program, have been registered as a full-time student in their program for a minimum of four (PhD) or two (MSc) Fall and/or Winter terms and have been assessed at least 18 (18\*) units of credits in each of those terms. For further information on Thesis 919: <http://www.gradstudies.ualberta.ca/regfees/registration/thesis919.htm>

## Ethics Training

Ethics and academic integrity training is mandatory for all graduate students who started their program on or after September 1, 2004. Each student is expected to complete at least eight hours structured academic activity to meet this requirement prior to convocation. This training could include:

- GET (Graduate Ethics Training) – offered on-line through FGSR (5 hours of credit):  
<http://gradfile.fgsro.ualberta.ca/degreesuperv/ethics/index.htm>
- ESI (Ethics and Scientific Integrity Day) – offered twice a year (5 hours of credit):  
<http://www.integritydays.med.ualberta.ca/>
- Interagency Advisory Panel on Research Ethics (2 hours of credit):  
[http://www.pre.ethics.gc.ca/english/tutorial/00\\_intro\\_overview\\_context.cfm](http://www.pre.ethics.gc.ca/english/tutorial/00_intro_overview_context.cfm)
- Animal Care Certification: [http://www.rso.ualberta.ca/details.cfm?ID\\_event=13765](http://www.rso.ualberta.ca/details.cfm?ID_event=13765)
- Research Services Office Events – Human Research Ethics Approvals:  
[http://www.rso.ualberta.ca/details.cfm?ID\\_event=13766](http://www.rso.ualberta.ca/details.cfm?ID_event=13766)

This training can also be delivered either through department-based tutorials or workshops. Every effort should be made to complete ethics training within the first year of graduate studies. Please ensure that your attendance is confirmed by the presenter and that proof of your attendance is given to the Grad Programs Admin Assistant, Rm. 2089 Dent/Pharm.

## Expectations and Responsibilities

### Graduate Committee

The role of the Graduate Committee is to set policy, make decisions regarding admissions, and to generally administer the graduate program. The Graduate Committee reserves the right to permit deviations from the Graduate Student Policy in cases where sufficient reason is given. The Graduate Committee consists of the Graduate Coordinator (Committee Chair), Associate Dean (Ex Officio), an elected clinical sciences representative, an elected basic science representative, and a graduate student and a graduate program director (appointed). Elected representatives are appointed for a two-year term.

### Supervisory Committee

The Supervisory Committee's role is to advise and guide the student regarding required courses, thesis project and other issues related to successful completion of the graduate program. The Committee will be comprised of at least three faculty members, one of whom must be the student's Supervisor. It is strongly recommended that one Committee member be from outside the Department of Dentistry.

The Supervisor will establish and arrange a meeting of the Supervisory Committee by the end of the first semester of graduate studies in the department. This meeting will be followed by a meeting at 12 months and at least annually thereafter.

### Student Responsibilities

- Students are responsible for familiarizing themselves with the requirements and limitations of their programs as specified in each Faculty section of the Calendar, for ensuring that their programs are properly planned and in accordance with degree specifications, and for the completeness and accuracy of their registration.

- Ensure that their registration is accurate, does not lapse, and to take responsibility for adjustments in registration made necessary by changes to their academic status.
- Students are required to register themselves in their courses each year. If assistance or departmental approval is required, please contact the Graduate Programs Administrative Assistant in Rm. 2089 Dent/Pharm.
- Ensure appropriate forms are submitted to the department for signature and process.
- Ensure fee payment by the deadline dates required set out in the University Calendar.
- Maintain open communication with their supervisor and graduate coordinator concerning any problem either real or perceived.
- Inform the Supervisor regularly about progress, and provide the Supervisor with an annual report for distribution to the supervisory committee.
- Make research results accessible (beyond their appearance in a thesis) to an appropriate audience.
- Be aware of deadlines for possible scholarship applications, and seek advice and assistance from the department in making applications, etc.
- Present thesis plan to the Final Master's Examining Committee and PhD Candidacy Examining Committee for acceptance a minimum of two months before examination.
- Prepare thesis in accordance with FGSR policy.

**The Department of Dentistry also expects that students will:**

- Treat colleagues in the department with respect.
- Attend departmental activities such as Brown Bag Lunch Lectures, and other research seminars or journal clubs.
- Follow all safety regulations imposed by the University and their Supervisor.
- Be prepared to undertake limited undergraduate teaching assignments (lectures, tutorials, reviews, mentoring, demonstrations or quizzes) as part of their academic apprenticeship. Students may enhance their teaching skills by participating in the workshops organized by University Teaching Services.
- Present a Brown Bag Lunch lecture following their final oral examination.

University of Alberta Code of Student Behaviour: <http://www.ualberta.ca/~unisechr/gfcPM.HTM>

University Teaching Services: <http://www.ualberta.ca/~uts/>

## **Supervisor Responsibilities**

The Supervisor is directly responsible for the supervision of the student's program. Along with the student, he/she plans a program of studies for the student and ensures that students conduct their research in a manner that is as effective, safe, and as productive as possible.

The Supervisor, with the support of the department, should:

- Provide an environment for the student that is conducive to research and in which the student can grow intellectually.
- Ensure that there are sufficient materials and supervisory resources for each graduate student under supervision.
- Consider a graduate student as a junior colleague in research.

- Provide appropriate guidance to the student on the nature and the standard expected, and be accessible to give advice and constructive feedback. At the beginning of the supervisory relationship, the student should be aware of the normal expectations held by the supervisor and the department.
- With the student, establish a realistic timetable for completion of various phases of the program.
- Ensure the student is aware of all program requirements, degree regulations, and general regulations of the department.
- Set up the course of study during the first year of the program.
- Work with the student to establish the supervisory committee within the first year of the program, and ensure that the supervisory committee maintains contact and formally meets at least once a year with the student.
- When going on leave or an extended period of absence, ensure that the student is adequately supervised by the provision of an Acting Supervisor (who should be a member of the supervisory committee).
- Ensure that the student is aware of her/his guidelines and, when necessary, assist the student in meeting these.
- Set up committee meetings and examinations after consultation and with the full knowledge of the student.
- Complete a “Graduate Student Progress Report” for each graduate student under their supervision annually.

### **Time Limits and Program Extensions**

- MSc program time limit: 4 years.
- PhD program time limit: 6 years.

In exceptional circumstances, FGSR may approve extensions if recommended by the department. If sufficient progress has been made on the thesis, candidates should apply for extensions by submitting in writing to the Graduate Committee an explanation for the delay. The FGSR will consider approved leaves of absence for maternity reasons and other documented, compelling reasons such as serious illness.

A “*Request for Program Extension*” form must be submitted to FGSR along with the following:

1. Written explanation from the student.
2. Supporting letter from the Supervisor which will include a summary of the student’s progress to date and expected date of completion.
3. Written justification by the chair or graduate coordinator for the extension.

<http://www.gradstudies.ualberta.ca/regfees/registration/extensions.htm>

### **Program Withdrawals**

Graduate students who wish to withdraw from a term or from their program should complete a *Withdrawal* form, available from the Department.

- The withdrawal must be approved by the Department and submitted to FGSR.
- After processing, a fee adjustment will be calculated, and any refund will be authorized according to the Refund Deadlines in the University Calendar.
- The date used for calculating any refund is the one on which FGSR received the “*Withdrawal*” form.
- Students who withdraw without completing a “*Withdrawal*” form will not be eligible for any refund of fees, nor will they be exempt from paying assessed fees that are unpaid.

## **Absence from the Department/University**

In some situations, a student must leave the Department or the University prior to completion of the thesis and/or its examination. This will be allowed only under special circumstances. The student must first meet with his/her Supervisory Committee and present an outline of the thesis. The Committee must then determine that no additional results are necessary for the thesis to have adequate substance to warrant that the student proceed to the final examination. The student will then be given one year to complete and defend the thesis as described below. During this period, the student will be allowed to register as a part-time student when necessary. After this time, the candidate must apply and be readmitted to the FGSR before a thesis can be approved.

## **Vacation Time**

Ordinarily vacation time is one week per term for a total of three weeks per calendar year.

## **Stipend/Pay**

There are currently no Department of Dentistry funded stipends for full-time graduate students. Students should seek alternate sources of funding through competitive scholarships from the University and granting agencies. Tuition fees are paid by the student directly.

For further information on fees: <http://www.gradstudies.ualberta.ca/gradmanual/four.htm>

## **Annual Meetings/Progress Report** (Appendix 3)

Each year, all supervisors/graduate students must complete an "Annual Progress Report". This report is used to summarize and gauge the student's progress and outlines specific recommendations for the evaluation period. This report will remain a part of the student's departmental record.

## **Conflict Resolution**

### **Informal resolution of conflict:**

Grievances of an academic nature sometimes arise. Students should first informally approach the supervisor concerned. One party to a conflict is often unaware that there is a problem. In the event that the supervisor and student do not reach agreement, the student could turn to another member of the Supervisory Committee familiar with the situation. Similarly, Supervisors should communicate their concerns as they arise. Written documentation that the student has acknowledged the concerns of a Supervisor should be maintained.

### **Formal resolution of conflict:**

The Graduate Coordinator is responsible for promoting the general interests of graduate students. He/she should be consulted as soon as a conflict becomes apparent and informal resolution fails. The coordinator will arrange for necessary consultation and mediation when requested by the student or Supervisor. She/he will listen in confidence, advise and do everything reasonable to achieve conflict resolution, including mediation on behalf of the student. Alternatively, the Associate Dean of the FGSR assigned to the Department, or the Student Ombudsman, can be approached in confidence.

### **Termination of a student's program:**

Only the FGSR can terminate a graduate student's program. Students wishing to withdraw or department chairs who wish to recommend the termination of a student's program must do so in writing to the Dean of

FGSR. Grounds for termination include failure to maintain adequate academic standing, failure to meet requirements set out in conditional admission and expiry of program time limit. Students wishing to withdraw are strongly advised to consult their Supervisor, the Graduate Coordinator, and if desired, the Associate Dean, FGSR before submitting their request. A decision by FGSR to terminate a program is subject to appeal via the FGSR academic appeals procedure. Further details on the termination procedure can be found in Section 9 of the FGSR Graduate Program Manual.

Information on conflict and resolution: <http://www.gradstudies.ualberta.ca/gradmanual/9.html>

## Convocation

The University of Alberta holds two convocations each year:

- Spring convocation in June
- Fall convocation in November

<http://www.gradstudies.ualberta.ca/examsconvo/convocation.htm>

Students must complete all the following steps before the graduate student convocation deadlines in order to convocate:

1. Apply for convocation using Bear Tracks. All applications for convocation are subject to review and approval by FGSR. Applying to convocate on Bear Tracks does not guarantee convocation.
2. Prepare and submit thesis to FGSR.
3. Ensure the department has sent the appropriate program completion form to FGSR.
4. Pay outstanding fees. Parchments and other official documentation will not be released to students with outstanding accounts.

## Preparation of Thesis

As of April 20, 2009, students now have the option to submit their final thesis either electronically or in hard-copy format. FGSR requires:

- One PDF version if submitted electronically; OR
- Two copies if submitted by paper (hard-copy); one unbound copy sent by FGSR to Library and Archives Canada for inclusion in the national repository and one copy to be bound and supplied to the U of A Libraries for cataloguing and placement in its Special Collections. Students may choose to have copies bound for their supervisor/personal use.

There are six steps in preparing and then eventually submitting the thesis to the FGSR in order to complete the graduate degree program. Students should review the following steps as early as possible in planning stages of writing the thesis and complete these steps once the Supervisor/Supervisory Committee indicates their thesis is ready for defence.

Theses approved by examination committees must be submitted six months of the date of the final oral examination and there are submission deadlines for each convocation period and registration requirements when submitting your thesis.

**Step 1:** Format your thesis following FGSR's specifications. A thesis in the Department of Dentistry must be prepared in one of three formats:

- Traditional format
- Paper format or
- Mixed format

For further information: <http://www.gradstudies.ualberta.ca/degreesuperv/thesis/thesispecs.pdf>  
Information on thesis preparation: <http://gradstudies.ualberta.ca/degreesuperv/thesis/prepare.htm>

**Step 2:** Take thesis to your Supervisory Committee for draft review

**Step 3:** Prepare your thesis for Oral Defence

**Step 4:** Make revisions to thesis

**Step 5:** Prepare thesis for submission

**Step 6:** Submit approved thesis to FGSR

**\*\* Note that if the thesis is submitted electronically, the Division of Orthodontics requires one bound thesis copy.**

## Final Master's Examination

In accordance with FGSR regulations, the Final Master's Examining Committee will consist of at least three faculty members who are normally full-time and approved by FGSR. One member must be from outside the Department of Dentistry. The Graduate Coordinator or his/her designate will chair the exam. Unless the chair is also an examiner, he/she will not vote on the outcome of the examination.

### Deadlines

Please adhere to the following deadlines when scheduling a final examination:

#### (> 2 months)

- The student presents a thesis plan to his/her Supervisory Committee.

#### (4-6 weeks)

- The student shall allow a minimum of two weeks for the Supervisor to provide comments on the final draft of the thesis prior to submission to the examining committee. This draft should be free of typographical and formatting errors. Conversely, it is the responsibility of the Supervisor to provide timely comments on all drafts of the thesis.

#### (3 weeks)

- The composition of the Examining Committee must be recommended and the "Notice and Approval of a Master's Final Oral Examining Committee" form should be forwarded to FGSR for approval a minimum of 3 weeks prior to the scheduled exam date.

## Final Oral Examination

Final oral examinations will be held in accordance with FGSR regulations. Except for the Dean, FGSR (or Associate Dean or pro dean), who may participate fully in the examination, persons other than the examiners may attend only with the approval of the Dean, FGSR, or the chair of the committee. Visitors may not participate in the committee's discussion concerning its decision on the student's performance and must withdraw before such discussion commences.

## Outcomes

At the close of the examination, the student will be given the opportunity to make final comments on the examination. The student will then be asked to withdraw from the room, and the Committee Members will be asked to comment on (1) the acceptability of the thesis, and (2) the acceptability of the defence.

Following a discussion, the Examining Committee will recommend by a majority vote one of the following possible outcomes:

**Pass** – The thesis and defence approved. All Committee Members shall sign the signature page. Thesis must be submitted to the FGSR office within six months of the date of the Final Oral Examination.

**Pass subject to minor revisions** – Thesis requires minor revisions of editorial nature. All members but the Supervisor may sign the signature page. The candidate shall make the appropriate revisions. The Supervisor will withhold signature until the thesis is satisfactorily amended. The thesis must be submitted to FGSR office within six months of the date of the Final Oral Exam.

**Adjourned** – Defence was unsatisfactory or thesis requires substantial revisions. No Committee Members will sign the signature page. The Committee will specify in writing with as much detail as possible the nature of revisions and additional work, and decide upon a date to reconvene no later than six months from the date of the examination.

**Fail** – Thesis rejected.

**N.B.** *If the thesis is not submitted to FGSR within the six month time limit, the candidate will be considered to have withdrawn from the program. After this time, the candidate must reapply and be readmitted to the FGSR before the thesis can be accepted.*

## PhD Candidacy Examination

### Overview

- All PhD students are required to pass a candidacy examination in subjects relevant to their general field of research no later than 24 months of the commencement of the program at a time when most, if not all, of the required course work is completed and the thesis research is well defined.
- The candidacy examination must be passed no less than six months prior to taking the final oral examination.
- All PhD programs are approved by the MSGPC well in advance of the candidacy examination being scheduled. A project proposal must be submitted the Supervisory Committee to be judged for suitability.

- Once the majority of the Supervisory Committee agree on the suitability of the proposal, the Candidacy Exam will be set to allow four weeks preparation time for the student and one week for review by the Committee.
- The Graduate Program Administrative Assistant must be informed of the exam date to allow a minimum of three weeks notification to FGSR. He/she will send a “*Notice and Approval of Doctoral Candidacy Examining Committee*” to FGSR.
- After the exam has been completed a “*Report of Completion of Candidacy or Final Oral Examination*” must be sent to FGSR.

### **Student Responsibilities**

- Prior to the examination, the student shall supply in writing to his/her Supervisory Committee the outline for the research project.
- Prepare proposal and submit with a minimum of one week for committee to review.
- Prepare 20 minute presentation.

### **Supervisor/Supervisory Responsibilities**

- Respond on the suitability of the project within one week of receipt of description.
- Set date for Candidacy Exam with a minimum of five weeks time for preparation and review.
- Book room for exam.
- Inform Graduate Program Admin Assistant of exam date and Committee Members.
- Complete “*Report of Completion of Candidacy or Final Oral Examination*” form.

### **Examining Committee**

- The Examining Committee will consist of a minimum of five full-time faculty members. Three of the faculty members will be from the thesis Supervisory Committee and two new members are to be added to the Committee.
- To avoid conflict of interest the new members should be at arms length from the student. FGSR requires that one Committee member be from outside of the Department.
- **It is the Supervisor’s responsibility to make the necessary arrangements for the candidacy exam. The purpose of the exam is to establish that the student has an adequate knowledge of the discipline and the ability to pursue and complete the original research at an advanced level.**

### **Research Proposal**

- The proposal is expected to meet the same scholarly standards that apply to published research papers. The sources supporting all statements in the proposal concerning facts or ideas obtained from the literature must be referenced with primary research papers or review articles; the references, with full authorship and title, must provide direct and accurate support.
- The use of “in press” and/or “personal communication” will not be permitted. Database sources must also be included.
- Any text copied from another source must be set off in quotation marks, and the source must be referenced. The student is expected to have read and understood that part of the content of all references that is relevant to their proposal.

## Attendance at Candidacy Examinations

Faculty members of the student's major department as well as members of FGSR Council (or their alternates) have the right to attend doctoral examinations but should notify the chair of the examining committee. Other persons may attend the defence only with special permission of the Dean, FGSR, or the chair of the examining committee. Except for the Dean, FGSR, (or Associate Dean or pro dean) who may participate fully in the examination, persons who are not members of the examining committee: (a) may participate in the questioning only by permission of the chair of the committee; (b) are not permitted to participate in the discussion of the student's performance and must withdraw before such discussion commences.

## Oral Defence

- The Graduate Coordinator or his/her designate will chair the defence of the proposal. Unless also an examiner, this representative will not vote on the outcome of the examination.
- The examination will begin with a brief discussion among the examining Committee members and chair without the student present. The student will then give a short (20 minute) presentation providing an overview of the proposal. Following this presentation, each examiner will be given approximately 20 minutes to ask questions, usually starting with members furthest removed from the student's academic program and progressing to the member most closely associated with the student.
- Generally, examiners will be allowed to interject questions of a related nature. After a brief recess, a second round of questions (maximum of five minutes per examiner) may be undertaken to address additional points.
- Questions from the examiners will be restricted to the proposal but can include queries on basic knowledge related to the scientific basis and rationale outlined in the proposal. The student will be expected to understand the strength and limitations, as well as potential sources of error, the proposed methods and strategies.

## Outcomes

Following the examination, the Chair will poll the Examination Committee members for a preliminary outcome. Following discussion, the final outcome will be determined by vote. The Examining Committee may recommend one of the following possible outcomes:

**Pass** – *Performance was exemplary/good.*

- Student becomes a PhD candidate

**Conditional Pass** – *Performance was acceptable but weak.*

- Specific conditions need to be met for the student to continue with his/her program. Conditions may include extensive rewriting of the proposal or sitting a second meeting focused on areas of identified deficiency. Those conditions and the time frame under which they are to be met will be described in detail in a letter addressed to FGSR and copied to the student.

**Fail** – *Performance was inadequate.*

The Committee must then choose one of three outcomes:

### **1. Repeat the Candidacy Exam**

If the student's candidacy exam performance was inadequate but the student's performance and work completed to date indicate that the student has the potential to perform at the doctoral level, the examining committee should consider the possibility of recommending that the student be given an opportunity to repeat the candidacy exam.

If the recommendation of a repeat candidacy is formulated by the examining committee and approved by the FGSR, the student is to be notified in writing of his/her exam deficiencies by the chair of the examining committee. The second candidacy exam is to be scheduled no later than three to six months from the date of the first candidacy. In the event that the student fails the second candidacy, the examining committee shall recommend one of the next two options.

**2. *Change of Category to a Master's Program* (this does not apply to our MSc - Ortho program)**

If the student's candidacy exam performance was inadequate and the student's performance and work completed to date indicates that the student has the potential to complete a master's program, the examining committee should consider the possibility of recommending a change of category to a master's program or postgraduate diploma program.

**3. *Withdrawal from the Doctoral Program***

If the student's performance was inadequate and the work completed during the program is considered inadequate, the examining committee should recommend termination of the student's program.

## Final PhD Oral Examination

### Overview

- The Examining Committee shall conduct a final oral examination based largely on the thesis
- It is the responsibility of the Supervisor to ensure that proper arrangements are made for the candidate's examination and the examination is scheduled and held in accordance with FGSR regulations. The candidate is not required to make these arrangements.
- The chair, student and all examiners should have a final draft of the thesis at the examination.
- A "Preliminary Acceptance of PhD Thesis" form (Appendix 1) must be signed by the student's committee members.
- It is customary for the candidate to leave the examining room while procedures are determined and explained.
- The most questioning time should be allotted to the Internal/External Examiner and the least to the Supervisor.
- At the close of the examination, before the student is asked to withdraw, it is often beneficial to ask the candidate if there are any final comments.
- For the adjudication, no final verdict should be rendered without each examiner having given an opinion.
- The overall decision is based on: (1) the acceptability of the thesis; and (2) the acceptability of the defence.
- The candidate should make a public presentation on the thesis, usually 40-45 minutes in duration (Brown Bag Lunch Lecture or Lunch and Learn session) at some point after the final oral examination.

### Student Responsibilities

- Present thesis plan to committee for acceptance a minimum of two months before examination.
- Prepare thesis in accordance with FGSR policy.
- Provide thesis to Supervisor for review six weeks prior to exam.

- Supply the other examiners with a copy of the thesis at least three weeks in advance, so that they may have adequate time to appraise the thesis.
- Prepare seminar to present before Final Oral Exam.
- Make revisions if necessary and submit thesis to FGSR within six months of Final Oral Exam.

### **Supervisor Responsibilities**

- Recommend an external examiner to FGSR two months prior to examination.
- Set date for Candidacy Exam with a minimum of five weeks time for preparation and review.
- Complete an *Invite External Reader/Examiner for Final Doctoral Oral Examination* form.
- Inform Graduate Program Admin Assistant of meeting time, place and committee members.
- Circulate the thesis to Supervisory Committee.
- Supply External Examiner with the thesis four weeks prior to the examination.
- Supply Examining Committee members with the thesis a minimum of three weeks prior to the exam.
- Complete the *Notice and Approval of a Doctoral Final Oral Examining Committee* a minimum of three weeks prior the exam.
- Complete a *Report of Completion of Candidacy or Final Oral Examination*.

### **Examining Committee**

In accordance with FGSR regulations, the Final Examining Committee shall consist of a minimum of five members and include:

- the student's Supervisory Committee
- one faculty member from outside the Department
- one external examiner from outside the University

### **External Examiner**

It is the responsibility of the Department Chair to nominate an external examiner and to submit the name to FGSR for approval. The external shall be a recognized authority in the special field of research of the candidate's thesis, and will be an experienced supervisor of doctoral students. A person who has previously been associated with the candidate cannot normally be approved as an external examiner. Also note, as per FGSR regulations, the external should not be contacting the supervisor or student directly regarding the thesis or making arrangements related to the examination.

FGSR has limited funding available for external examiners. Departments should complete and submit a "Request for Funds for External Examiner Travel" form.

<http://www.gradstudies.ualberta.ca/examsconvo/docexams.htm>

### **Deadlines**

Keep in mind the following deadlines when scheduling a final examination:

#### **(>4 months)**

- The student presents a thesis plan to his/her Supervisory Committee. This plan must be approved by each Committee member and a *Report of Final Supervisory Committee* form completed.

#### **(2 months)**

- The Department must recommend an external examiner to FGSR three months prior to examination. The student shall allow a minimum of one or two weeks for the advisor to provide comments on the final draft of the thesis prior to submission to the examining Committee. This draft should be free of

typographical and formatting mistakes. Conversely, it is the responsibility of the advisor to provide timely comments on all drafts of the thesis.

**(1 month)**

- After thorough review, the Supervisor must circulate the thesis among members of the Supervisory Committee. The Department must supply the external examiner with a copy of the thesis at least four weeks in advance, so that he/she has adequate time to appraise the thesis.

**(3 weeks)**

- The student must supply the other examiners with a copy of the thesis at least three weeks in advance, so that they may have adequate time to appraise the thesis.
- The exact composition of the Examining Committee and exam date must be recommended three weeks prior to examination and a “*Notice of Approval of Oral Examining Committee*” form completed.

**Examination**

The Graduate Coordinator or his/her designate will chair the exam. The Supervisor cannot act as chair of the Examining Committee. If the Chair is not a member of the Examining Committee, he/she will not vote on the outcome of the examination. Further details concerning the administration of the Final Exam:

<http://www.gradstudies.ualberta.ca/gradmanual/8.12.html>

**Attendance at Final Oral PhD Examinations**

Faculty members of the student’s major department as well as members of FGSR Council (or their alternates) have the right to attend doctoral examinations but should notify the chair of the examining committee.

Other persons may attend the defence only with special permission of the Dean, FGSR, or the chair of the examining committee. Except for the Dean, FGSR, (or Associate Dean or pro dean) who may participate fully in the examination, persons who are not members of the examining committee:

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

**Outcomes**

At the close of the examination, the student will be given the opportunity to make final comments on the examination. The student will then be asked to withdraw, and the Committee members will be asked to comment on the:

- (1) acceptability of the thesis
- (2) acceptability of the defense

Following a discussion, the Examining Committee may recommend by a majority vote one of the following possible outcomes:

**Pass – *The thesis and defense approved.***

- All Committee Members shall sign the signature page. Thesis must be submitted to the FGSR office within six months of the date of the Final Oral Examination.

**Pass subject to minor revisions – *Thesis requires minor revisions of editorial nature.***

- All members but the Supervisor may sign the signature page. The candidate shall make the appropriate revisions. The Supervisor will withhold signature until the thesis is satisfactorily amended. The thesis must be submitted to the FGSR office within six months of the date of the Final Oral Exam.

**Adjourned – *Defense was unsatisfactory or thesis requires substantial revisions.***

- Committee Members will sign the signature page. The Committee will specify in writing with as much detail as possible the nature of revisions and additional work, and decide upon a date to reconvene no later than six months from the start of the examination.

**Fail – *Thesis rejected.***

**N.B.:** *If the thesis is not submitted to FGSR within the six month time limit, the candidate will be considered to have withdrawn from the program. After this time, the candidate must reapply and be readmitted to the FGSR before the thesis can be accepted.*

## Summary of Responsibilities

### Supervisor's Responsibilities:

- Arrange proper academic program
- Provide supportive environment for academic experience
- Set-up Supervisory Committee within the first three months and make arrangements for a meeting at least once a year
- Make adequate provisions for supervision when on leave
- Set up final exam and make recommendation to Department for invitation of external examiner
- Arrange for final meeting of the Supervisory Committee where thesis plan is approved
- Provide timely comments on all drafts of the thesis
- Ensure that the final thesis is complete and ready for submission to examiners
- Ensure that "Preliminary Acceptance of Thesis" form is completed
- Cover the costs of thesis preparation

### Student Responsibilities:

- Ensure that requirements of FGSR are met
- Ensure registration is complete and accurate
- Maintain satisfactory academic standing: including attendance at departmental seminars
- Provide timely drafts of the thesis

### Graduate Coordinator Responsibilities:

- Oversee admission process in consultation with the Graduate Committee
- Promote the general interests of the graduate students
- Ensure that he/she or his/her designate chairs all candidacy, master's and doctoral examinations
- Mediate resolution of conflicts between student and supervisor as they arise

<http://www.gradstudies.ualberta.ca/gradmanual/one.htm>

## Student Milestones

### Year 1

- Register (Coursework and Thesis)
- 3 months: Attend first committee meeting
- 12 months: Prepare for and attend annual committee meeting
- Complete student portion of *Annual Progress Report*
- Ethics Training: Start and/or complete

### Year 2

- Register (Coursework and Thesis)
- Prepare for and attend annual committee meeting
- Complete student portion of *Annual Progress Report*
- Ethics Training: Start and/or complete
- MSc (course-based): Final Capping Exercise

### Year 3

- Register (Coursework and/or Thesis)  
**MSc students:**
  - give a departmental seminar prior to their Final Oral Examination
  - Prepare Thesis – see manual for deadlines and format
  - Forward thesis to committee members
  - (course-based): Final Capping Exercise  
**PhD students:**
  - Candidacy Exam (no later than 24 months)
  - Give a mid-stream seminar in this year (can be tied to a committee meeting)
  - Prepare for and attend annual committee meeting
  - Complete student portion of *Annual Progress Report*
  - Ethics Training: Start and/or complete

### Year 4

- Register (Thesis)
- Prepare for and attend annual committee meeting
- Complete student portion of *Annual Progress Report*

### Year 5

- Register (Thesis)
- Complete student portion of *Annual Progress Report*
- Prepare for and attend annual committee meeting
- Prepare for Final Oral Examination
- Circulate thesis to committee members
- Prepare Thesis – see manual for deadlines and format

### Additional:

- Students are required to have a committee meeting at least once per year. These can happen more frequently and can be initiated by either the student or supervisor.
- Students must also have permission from their committees to write up their theses. Supervisors should be prepared to call a committee meeting if after three months an MSc student, or after six months a PhD student, has not demonstrated significant progress on writing their theses.

## Supervisor Timeline

### Year 1

- Advise student on coursework
- Set up supervisory committee
- 3 months: Arrange first committee meeting
- 12 months: Arrange annual committee meeting
- Complete supervisor portion of *Annual Progress Report*

### Year 2

- Arrange annual committee meeting
- Review and accept student thesis plan
- Complete supervisor portion of *Annual Progress Report*
- Submit form for MSc Final Oral Exam Committee
- Arrange for MSc Final Oral Exam

### Year 3

- Arrange annual committee meeting
- Review and accept student thesis plan
- Complete supervisor portion of *Annual Progress Report*
- Submit form for MSc Final Oral Exam Committee
- Arrange for MSc Final Oral Exam
- Arrange for PhD Candidacy Exam

### Year 4

- Arrange annual committee meeting
- Complete supervisor portion of *Annual Progress Report*

### Year 5

- Arrange annual committee meeting
- Approve student's thesis plan and submit paperwork
- Arrange for Final Oral Examining Committee Members including External
- Review thesis and ensure circulation to committee members
- Arrange for Final Oral Exam

### Additional:

- The Graduate Studies Committee must approve the supervision of more than two PhD students at a time.

## Detailed Timelines

### Course Registration

- July/August

### Supervisory Committee Meetings

3 months

- Initial meeting to review student's academic background and make recommendations for courses

12 months

- Review progress – complete *Annual Student Progress Report*

Annual meetings thereafter

### MSc Final Oral Examination

3 months prior

- Present thesis plan to Supervisory Committee for approval

6 weeks prior

- Provide thesis to Supervisor for review prior to submitting to Examining Committee

3 weeks prior

- Submit *Notice and Approval of a Master's Final Oral Examining Committee*

### Candidacy Examination

No later than 24 months after starting PhD

>6 weeks

- Outline to be reviewed by committee members

5 weeks prior

- Proposal outline acceptance

3-4 weeks prior

- Inform Grad Program Admin Assistant of date and time of meeting so that the room may be booked and the *Notice and Approval of Doctoral Candidacy Examining Committee* form sent to FGSR

1 week prior

- Committee to review proposal

Committee completes *Report of Candidacy Committee Meeting* and *Report of Completion of Candidacy or Final Oral Examination*

## Final Doctoral Examination

>4 months prior

- Student presents thesis plan to Supervisory Committee. Committee completes and signs *Report of Final Supervisory Committee*.

2 months prior

- Department recommends External Examiner to FGSR. Request Grad Program Admin Assistant to complete *Invite External Reader/Examiner for Final Doctoral Oral Examination* form and *Request for Funds for External Examiner Travel* forms.
- Student provides final draft to Supervisor for comments.

1 month prior

- Supervisor circulates the thesis among members of the Supervisory Committee Preliminary Acceptance of the thesis.

3 weeks prior

- Supply remaining examiners with thesis
- Complete *Notice and Approval of Doctoral Final Oral Examining Committee* form

## Thesis Submission and Convocation

For thesis submitted between:

### September 1 and Fall Convocation Deadline:

- Student must be registered in the Fall term
- Once thesis is submitted, FGSR will change registration to THES 910

### Fall Convocation deadline and 5<sup>th</sup> business day in January

- Student must be registered for the Fall term
- Fees assessed according to the registration

### 5<sup>th</sup> business day in January and January 31

- Student must be registered in both Fall and Winter terms
- Once thesis is submitted, FGSR will change the Winter registration to THES 910

### February 1 and Spring Convocation Deadline

- Student must be registered in both Fall and Winter terms
- Fees will be assessed according to the registration

### Spring Convocation Deadline and August 31

- Student must be registered for both terms of the previous Fall/Winter
- No registration required for the Spring/Summer period

**Appendix 1**

**Department of Dentistry  
Preliminary Acceptance of PhD Thesis**

Date:

To: Graduate Coordinator  
Dept. of Dentistry

From: (Name of Supervisor)

Re: (Name of Student & ID Number)

This is to certify that (name of student)'s PhD thesis is of adequate substance (and quality) to warrant that he proceed to the final oral examination.

Signatures:

\_\_\_\_\_  
Supervisor

\_\_\_\_\_  
(External Committee Member)

\_\_\_\_\_  
Co-Supervisor (if required)

\_\_\_\_\_  
(Committee Member)

\_\_\_\_\_  
(Committee Member)

\_\_\_\_\_  
(Committee Member)

## Appendix 2

### Thesis Submission Option Changes:

Submission Options	Students will have two submission options: EITHER electronically OR by paper (hard-copy); electronic submission is more efficient but not mandatory
Number of Copies Required:	<p>Effective April 20, 2009 students will submit:</p> <ul style="list-style-type: none"> <li>• One PDF version if submitted electronically OR</li> <li>• Two copies if submitted by paper (hard-copy)</li> <li>• One unbound copy, sent by FGSR to Library and Archives Canada for microfilming inclusion in the national repository</li> <li>• One copy, which will be bound and supplied to UofA Libraries for cataloguing and then placed in its Special Collections.</li> </ul> <p>Note: The Department of Dentistry does not require a paper copy. Students still may have bound copies for their personal/supervisor use should they choose.</p>
Changes to Prefactory Pages and Forms	<ul style="list-style-type: none"> <li>• U of A Library Release – will be a separate form retained in the student’s FGSR file</li> <li>• New Title Page – includes improved copyright information</li> <li>• Examining Committee Page – lists the examining committee – no signatures will be included on this page and within the thesis</li> <li>• Thesis Approval/Program Completion form – Combines the Examining Committee Signature Page, Report of Completion of Final Oral Exam and Completion of Academic and Integrity Requirement form into one. Students will complete a portion of this form and bring it to their defense. The Committee will sign as appropriate. The form then goes to the department for the Graduate Coordinator to sign verifying the student’s program is complete, including the ethics training component.</li> </ul>
Draft Review	The FGSR will no longer perform a draft review of the thesis before the oral defense.
Copyright	No change, the student, as author, continues to retain copyright ownership of the thesis.
Examining Committee Appointment and Thesis Distribution	Departments remain responsible for ensuring examining committee members receive the thesis for appraisal at least three weeks (for weeks for external examiners) before the oral defense.
Thesis Costs	<p>The student is responsible for all typing/reproduction costs in preparing their final thesis submission.</p> <p>Departments and/or supervisors may still choose to pay microfilming or binding fees on behalf of the student by indent.</p>
Public Access	<p>Theses will continue to be deposited in the following collections, as they already do:</p> <ul style="list-style-type: none"> <li>• University of Alberta Library catalogue (including NEOS Library Consortium)</li> <li>• Library Archives Canada’s electronic Theses Canada Portal</li> <li>• ProQuest Electronic Theses and Dissertations Database</li> <li>• Library Archives Canada’s microfilmed thesis collection (once the thesis has been microfilmed by ProQuest).</li> </ul> <p>Theses submitted electronically will accessible within one or two months; theses submitted by paper will accessible approximately six months after submission.</p>

**Appendix 3**

Faculty of Medicine and Dentistry  
Department of Dentistry

**Graduate Student Annual Report**  
*(indicate year)*

The information on this form is being collected by the University of Alberta under the general authority of Section 32C of the Freedom of Information and Protection of Privacy Act. By signing this form you are consenting to the collection and use of this information by the University. Should you have any questions about the collection of personal information, please contact the Graduate Administrator at (780) 492-9721.

***This form is to be completed by the Supervisor in conjunction with the student. Please return completed form to Ms. Pat LaPointe, Dentistry Graduate Studies & Research Office, 2089 Dent/Pharm by June 30.***

**Student's Name:** \_\_\_\_\_ **Student ID#:** \_\_\_\_\_

**Start Date of Program (mm/yr):** \_\_\_\_\_ **Program:**  MSc  PhD  Other

**Supervisor's Name:** \_\_\_\_\_

***Date of last supervisory committee meeting:*** \_\_\_\_\_

*Please attach a copy of the minutes of the meeting indicated above, including a list of the supervisory committee members in attendance.*

Funding:	Source	Period	Amount
• Current stipend:			
• Current research:			
• Next year's stipend:			
• Next year's research:			
Is the student managing to support themselves through their degree?		Yes ( )	No ( )

**Coursework:** For the evaluation period, indicate the courses taken by the student. List if the courses are completed, in progress or planned.

Year/Term	Course Name	Grade (if completed), In Progress (IP), or Planned (P)

All graduate students **admitted on or after September 1, 2004** are required to fulfill the FGSR's requirement for mandatory academic integrity and ethics training. Each student is normally expected to complete the equivalent of at least eight hours of structured academic activity. Has this been completed? Yes \_\_\_\_\_ No \_\_\_\_\_

For the evaluation period, please indicate the student's:

- a) Awards, distinctions:
  
  
  
  
  
  
  
  
  
  
- b) Presentations, abstracts, publications;
  
  
  
  
  
  
  
  
  
  
- c) Other (eg: patents, etc...):

Summarize the student's research progress for the evaluation period:

*Timeline: If not completed, then when is the student expected to:*

Present a PhD proposal to the MSGPC? \_\_\_\_\_

Take the candidacy exam for the PhD? \_\_\_\_\_

Defend the MSc or PhD thesis? \_\_\_\_\_

Please comment on the student's research relative to these timelines:

*Indicate the student's overall progress during the evaluation period by inserting an X within the bar.*

Unsatisfactory	Satisfactory	Good	Very Good	Excellent

*Supervisor's comments:*

*Specific recommendations for the student:*

*Goals for next year:*

*Student's comments:*

Supervisor's signature: \_\_\_\_\_ Date: \_\_\_\_\_

Student's signature: \_\_\_\_\_ Date: \_\_\_\_\_

\*The student's signature indicates that the student has read this report. The student may submit separate written comments to supplement the information in this report.