

**SPROTT SCHOOL OF BUSINESS
CARLETON UNIVERSITY**

Ph.D. in Management Thesis Defence Procedure

Faculty Supervisor Responsibilities

1. At least 8 weeks prior to the proposed defence date, supervisors must provide the PhD Director with a list of 2 or 3 potential External Examiners for approval.

See section 2.2.1 from FGPA's Thesis Examination Policy for Conflict of Interest details:

"The external examiner should be an impartial scholar with recognized expertise in the thesis research area. In addition, it is necessary that s/he be at arm's length from the candidate, from the supervisor(s) and from the university. To guarantee the impartiality of the external examiner, the following conditions should be met:

- The external examiner should have no family ties or close business ties or close professional ties to the candidate or the supervisor(s) in the preceding six years;
- The external examiner should have neither held an appointment at Carleton University nor be a member of the joint institutes with Ottawa University in the preceding six years;
- The external examiner should have no prior supervisory relationship with the candidate or with the supervisor(s) in the preceding six years;
- The external examiner should not have been a principal co-author or close research collaborator with the candidate or with the supervisor(s) in the preceding six years.

While this list is not an exhaustive one, it provides an indication of the kinds of relationships that call into question the impartiality of the external examiner."

2. Once approved, supervisor(s) must contact the External Examiner to set a date and time for the defence.

Student Responsibilities

1. Students must contact their Examination Committee members (except for the external). The committee members should be the same as those who were at the proposal. If they are not, a written request must be submitted to the PhD Director for approval.
2. Once the External Examiner has been approved, and a date and time has been set, the student must:
 - Fill out the personal information section of the Approval Form (see the attached document)
 - Have supervisor complete the rest of the Approval Form (see the attached document)
 - Ask committee members if they require a hard copy of the document (the PDF is made available online). If any hard copies are requested, the student must provide the PhD Administrator with copies for distribution. One hard copy is required for the Faculty of Graduate and Postdoctoral Affairs.

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- **5 weeks prior to the defence date** submit the following to the PhD Administrator:
 - i. Approval Form
 - ii. Copies of your **unbound** thesis for committee members, if requested
 - iii. An electronic copy emailed to the PhD Administrator
- 3. Once your Approval Form has been submitted, you will receive an automated email asking you to submit the Examination Copy of your thesis in Carleton Central. At this point you will also be prompted to complete the following:
 - Academic Integrity Statement
 - FIPPA Agreement
 - Carleton University Thesis License Agreement
- 4. Once your examination copy and the Agreements/Licenses are submitted. Your thesis supervisor and the PhD Director will be asked to authorize your defence. Once authorized by the PhD Director, the following will take place:
 - A room and equipment will be reserved
 - The official notice will be prepared and forwarded to you and your committee members
 - The PhD Administrator will deliver the copies of your thesis to your committee members.
- 5. A week prior to your defence, email your presentation slides (i.e., your PowerPoint) to the PhD Administrator who will send it to the External examiner.
- 6. All guidelines for the preparation of the thesis can be found at:
<https://gradstudents.carleton.ca/resources-page/thesis-requirements/>. It is your responsibility to ensure that all guidelines are met. Pay special attention to the title page, the abstract, and the pagination rules.
- 7. Make sure you **apply to graduate** through [Carleton Central](#). The deadlines are as follows:
 - April 1 for Spring Convocation
 - August 31 for Fall Convocation
 - November 30 for Winter Convocation

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PH.D. THESIS EXAMINATION APPROVAL FORM

To be completed by the student:

STUDENT NAME: _____ STUDENT NUMBER: _____

Thesis Title: _____

Proposed Date: _____ Proposed Time: _____

In-person Hybrid

Note: In a hybrid examination, the student and at least one committee member are required to attend in-person.

*Closed Defense Open to all Open to selected (please specify): _____

EXAMINATION BOARD: (to be completed by the supervisor)

External Examiner: _____

Email address: _____

Internal Examiner: _____

Department: _____

Supervisor: _____

Member: _____

Member: _____

Signature of Supervisor: _____

The Committee membership has been approved, signed: _____

PhD Director, Sprott School of Business

NOTE: The PhD Director must approve the members of the Examining Board. The Examination Board consists of Supervisor, External Examiner, Internal Examiner and two other members of Sprott. The remaining members on the Examining Board will be appointed by the Faculty of Graduate and Postdoctoral Affairs

** The decision to keep the defence closed or open will not affect the outcome of the defense and should be made by the student, in collaboration with the supervisor*