University Graduate Committee Representative Checklist
Doctoral Dissertation Defenses

University Graduate Committee Representative Role*: The role of the University Graduate Committee representative is to represent the Graduate Dean and ensure that examinations are conducted in a manner consistent with the expectations and standards of the Graduate College. He/she is responsible for:
1) Clarifying policy and procedures when necessary
2) Observing the fairness of the examination
3) Conducting the voting process for the pass/fail decision and reporting results to the committee
4) Reporting the results of the examination to the Graduate College, including professionalism, adherence to academic standards, and outcome of the examination.

* If no UGC representative is in attendance, the committee chair shall perform these responsibilities.

PRIOR TO THE DEFENSE

☐ Read the NAU Graduate College Procedures for Doctoral Oral Examinations (provided by the Graduate College and available on the web site).

☐ Review the electronic copy of the dissertation (provided by the Graduate College) for completeness and readiness for defense (expected sections/info, grammar, typos). The student is not held responsible for design flaws approved in the prospectus. Problems in the design should be brought to the attention of the Graduate Dean.

☐ When one or more committee members has been approved to attend by phone, ensure that voting committee members have the fax number at your location, your email, or your cell number for texting so they can get a secret ballot vote to you.

DURING THE DEFENSE
For any unexpected events, call the Graduate College at: 928-523-4348

☐ Ask the committee members to affirm/discuss the readiness for defense. If the candidate is not ready or if committee members are not all present (unless the Graduate College approved in writing, in advance that the defense go forward in the absence of a member), the defense is rescheduled. Telephone or web conferencing participation must be approved by the Graduate College in advance of scheduling the defense.
The Chair or UGC Representative reviews procedures with the committee (and later with the candidate & guests). Suggested procedure:

- Candidate presents an outline of the study and its relevance
- Questioning by committee members
- Discussion and vote
- Counting of ballots and announcement of results

The Chair decides if clarifying questions will be allowed during the presentation.

The Chair decides whether guests may remain during the questioning and whether they may ask questions.

After questioning, the chair asks the candidate and visitors to exit the room and the committee discusses the candidate's performance on the exam.

The committee discusses the candidate's performance and any suggested revisions or changes.

Following the committee's discussion of the candidate's performance, the UGC Representative provides ballots (for voting members attending by telephone, ensures committee members at other sites received ballots to fax or intend to email or text their votes to the UGC Rep) and conducts a secret ballot vote (UGC Representative does not vote).

The UGC Representative counts the ballots (committee members at distance sites must fax, email, or text their ballots via the prearranged method—see above) and announces the results and whether the student passed the examination (4/5 or ¾ pass votes)

If the student passes the defense with only MINOR changes,

- Committee members must note the changes on the Final Oral Examination (Thesis/Dissertation Defense)—Part 1 Pass/Fail Form and specify on the form a process to verify that the changes are made prior to submission of the final copies.

- Committee members and UGC Representative sign the form.

With the permission of a member attending from a remote site, the University Graduate Committee Representative (or the committee chair if there is no UGC Rep) may sign the form on behalf of committee members. This is formally done by writing p.p. (Latin for per procurationem, meaning power has been delegated to sign on behalf) followed by the UGC representative’s signature on the signature line and the committee member’s name printed to the right.
For Example:

Signatures of the Committee                  Printed Names
pp UGC Rep Signature                       Remote Members Name

☐ Alternatively, members at distant sites may e-mail an endorsement of the defense outcome to the Associate Dean of the Graduate College. A copy of that e-mail shall be attached to the original form and shall become part of the official documentation.

☐ If the student does not pass the defense or if there are major problems with the dissertation (e.g. needs to rewrite an entire chapter or re-analyze data), the student should be advised of the deficiencies and the exam rescheduled until the committee is satisfied that the deficiencies are corrected.

☐ The committee may choose not to take a formal vote. Whether there is a vote or not, this will be considered a first defense and the student will have one more opportunity to pass the defense.

☐ Committee members must note the results on the Final Oral Examination (Thesis/Dissertation Defense)—Part 1 Pass/Fail Form

☐ Following the secret votes, the candidate is called back in to hear the results.

☐ The UGC Representative reminds the successful candidate that she/he must turn in the final copies no later than six months from the defense date or the committee will have to schedule the defense again.

**AFTER THE DEFENSE**

☐ Return the Final Oral Examination (Thesis/Dissertation Defense)—Part 1 Pass/Fail Form, on which the vote is recorded and the committee members have signed, to the Graduate College (Ashurst A-107) within 48 hours of the exam.

☐ Fill out the Report to the Graduate Dean on the Doctoral Oral Exam form and return it to the Graduate College as soon as possible.

THANK YOU FOR THIS IMPORTANT SERVICE ON BEHALF OF THE GRADUATE COLLEGE DEAN AND NAU GRADUATE STUDENTS!