

## Notice of Submission of Thesis for Examination Arrangements (SGS09)

Note: Students who wish to submit theses for assessment should give ***three months' notice*** to the Chow Yei Ching School of Graduate Studies for examination arrangements. Please read the attached notes on "Matters Related to Thesis Examination Arrangements" before completing this form.

### Section A Candidate's Particulars (To be completed by the candidate)

(Please "✓" as appropriate)

Name: \_\_\_\_\_ Student No.: \_\_\_\_\_ Department/School: \_\_\_\_\_  
 Commencement Date: \_\_\_\_\_ Programme: MPhil/PhD\* Mode of Study: FT/PT\*  
 Contact Phone No.: \_\_\_\_\_ Email: \_\_\_\_\_  
 (Normal) Study Period End Date: \_\_\_\_\_ Maximum Study Period End Date (if applicable): \_\_\_\_\_

Supervisor/Qualifying Panel Chairperson: \_\_\_\_\_

(External) Associate Supervisor (if any): \_\_\_\_\_

Qualifying Panel Members: 1. \_\_\_\_\_  
 2. \_\_\_\_\_

[For Non-local Students]: Expiry date of current visa/entry permit: \_\_\_\_\_ (dd/mm/yyyy)

I have been/am a full-time member of CityU academic staff from \_\_\_\_\_ to \_\_\_\_\_  
 (dd/mm/yyyy) (dd/mm/yyyy)

Post Title: \_\_\_\_\_

I have not been a full-time member of CityU academic staff.

1. I confirm that:

- I have fulfilled all the coursework requirements for my research degree programme.
- I will submit my thesis on \_\_\_\_\_ (dd/mm/yyyy), and request that the Chow Yei Ching School of Graduate Studies make the necessary arrangements for my MPhil/PhD examination.
- I have settled the payment for the examination fee of \$1,000 (for MPhil students) or \$1,500 (for PhD students) and the original receipt is attached (not applicable to students under the Mainland Collaboration Schemes).
- I have attached a copy of the abstract of my thesis to be submitted for examination.
- (Applicable to students admitted from 1 September 2014 onwards) I have informed SGS to update Planner's coursework fulfillment indicator and attached a copy of the **Research Degree Planner** summary sheet printed from AIMS.
- (Applicable to CLASS students admitted from 2015/16 onwards) I have attached a copy of the Completion Report of Collaborative Institutional Training Initiative [CITI] Programme.

2. My proposed thesis title is (in both English and Chinese):

[Please inform the Chow Yei Ching School of Graduate Studies of any subsequent changes to the thesis title for approval arrangements.]

**English:** \_\_\_\_\_

**Chinese:** \_\_\_\_\_

Signature of the Candidate: \_\_\_\_\_ Date: \_\_\_\_\_

**Upon completion of Section A, please forward the form to Supervisor for approval arrangements.**

## Section B Recommendation by the Supervisor/Qualifying Panel Chairperson

*Note: - The Supervisor is advised not to disclose the identity of the examiners to the candidate before the examination.  
- The Supervisor/Qualifying Panel Chairperson is requested to confirm the thesis submission date proposed by the candidate in Section A and give recommendations on the following:*

1. I confirm that the proposed submission date is feasible.
2. I recommend/do not recommend\* (*delete as appropriate*) the proposed thesis title and the candidate's request for examination arrangements as stated in Section A.
3. I certify, on behalf of the Qualifying Panel, that the candidate has fulfilled all the coursework requirements for the degree (if applicable).
4. Please comment if the research findings/outcome presented in the thesis is an applied research.

\_\_\_\_\_  
\_\_\_\_\_  
Signature: \_\_\_\_\_  
Supervisor/Qualifying Panel Chairperson

Date: \_\_\_\_\_

**Upon completion of Section B, please forward the form to Department/School for approval arrangements.**

## Section C Recommendation by the Department Head/SGSC Chair

*Note: The Department/School is advised not to disclose the identity of the examiners to the candidate before the examination.*

*Please read the attached guidelines on "Appointment and Duties of the Panel of Examiners for Research Degree and Professional Doctorate Programmes" carefully before making nominations for examiners. Key points are as follows:*

- (a) Examiners appointed should have appropriate expertise related to the subject area of the candidate's research work and thesis. Internal examiners should normally be at the grade of Associate Professor or above. Appointment of internal examiners of a lower rank should be supported with justifications. External examiners should be at the grade of Associate Professor or above.
- (b) Individuals studying a higher degree should not be appointed as examiners.
- (c) An **MPhil** examination panel comprises **one** Panel Chair (who is an Internal Examiner), **one** External Examiner and the supervisor. A **PhD** examination panel comprises **one** Panel Chair (who is an Internal Examiner), **two** examiners, of whom at least one must be an External Examiner, and the supervisor.
- (d) As a good practice and a benchmark against international standards, it is recommended that at least one overseas academic should be appointed to serve as a member of the Panel of Examiners, especially for the PhD examination panel.
- (e) If there is no suitable internal examiner, an external examiner can be appointed instead.
- (f) If more than one external examiner is appointed to serve on the same examination panel, the external examiners should be from different institutions.
- (g) For the nomination of examiner(s) in the College of Science and Engineering (CSE) and College of Veterinary Medicine and Life Sciences (CVMLS) only  
Internal Examiner(s): Qualifying Panel members could be appointed as internal examiner(s) if he/she does not have any joint publications with the student. However, Qualifying Panel members could not be appointed as the Panel Chair.  
External Examiner(s): External examiner(s) should not have association with the student's supervisor in form of (i) joint publication(s) in the past 10 years, (ii) joint project in the past 10 years, or (iii) former colleague.  
(In case of doubt or if there are any special circumstances that are not in conformity with the College's requirements, departments are requested to seek advice/approval from the College before the nominations are forwarded to SGS.)
- (h) For the nomination of examiner(s) in the College of Liberal Arts and Social Sciences (CLASS) only  
Members of the Qualifying Panel will not sit on the Panel of Examiners (though can attend as observers). In cases where it is deemed essential to have a Qualifying Panel member sit on the Panel of Examiners, an additional external examiner at the grade of Associate Professor or above will be required. Please refer to the Constitution of PhD Examination Panels posted at the CLASS website (<http://www.cityu.edu.hk/class/researchdegree.aspx>).

**Panel Chair (who is an Internal Examiner)**

Full Name in English

Surname

First/Other Names

Post Title (Department): \_\_\_\_\_ ( \_\_\_\_\_ )

Information on the experience of the Panel Chair recommended (use separate sheets if necessary):

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Forms of previous/current relationship with the candidate, if any (e.g. work/supervisory/personal relationship, or research collaborations known to me) (use separate sheets if necessary):

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**External Examiner**

Full Name in English

Surname

First/Other Names

Prof    Dr    Mr    Ms

Post Title: \_\_\_\_\_

Name of Serving Department: \_\_\_\_\_

Name of Serving Institution: \_\_\_\_\_

Correspondence  
Address

Email Address

Contact Tel No.

Fax No.

Relevant experience of the nominated Examiner (use separate sheets if necessary):

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Forms of previous/current relationship with the candidate, if any (e.g. work/supervisory/personal relationship, or research collaborations known to me) (use separate sheets if necessary):

No  / Yes  If yes, please provide details.

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**Previous/current association with the University/Department/School known to me** (use separate sheets if necessary):

No  / Yes  If yes, please provide details.

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**Forms of any previous/current relationship with the Supervisor and/or the Associate Supervisor, if applicable (e.g. business/professional or personal relationship known to me)** (use separate sheets if necessary):

No  / Yes  If yes, please provide details.

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**Additional Internal / External Examiner for PhD Panel of Examiners**

**Full Name in English**

**Surname**

**First/Other Names**


Prof Dr Mr Ms

**Post Title:** \_\_\_\_\_

**Name of Serving Department:** \_\_\_\_\_

**Name of Serving Institution:** \_\_\_\_\_

**Correspondence Address**

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**Email Address**

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**Contact Tel No.**

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**Fax No.**

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**Relevant experience of the nominated Examiner** (use separate sheets if necessary):

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**Forms of previous/current relationship with the candidate, if any (e.g. work/supervisory/personal relationship, or research collaborations known to me)** (use separate sheets if necessary):

No  / Yes  If yes, please provide details.

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[For External Examiner only] Previous/current association with the University/Department/School known to me (use separate sheets if necessary):

No  / Yes  If yes, please provide details.

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[For External Examiner only] Forms of any previous/current relationship with the Supervisor and/or the Associate Supervisor, if applicable (e.g. business/professional or personal relationship known to me) (use separate sheets if necessary):

No  / Yes  If yes, please provide details.

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I approve the proposed thesis title given in Section A and recommend the above nominations for the Panel Chair and examiners for further approval.

Comments:

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Signature: \_\_\_\_\_  
Department Head/SGSC Chair

Date: \_\_\_\_\_

**Upon completion of Section C, please forward the form to College/School for approval arrangements.**

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**Section D Approval by the CGSC Chair/School Dean (\* Please delete as appropriate)**

I approve/do not approve\* the nominations for the Panel Chair and examiners as presented in Section C.

I have the following comments:

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Signature: \_\_\_\_\_  
CGSC Chair/School Dean

Date: \_\_\_\_\_

**Please return the completed form to SGS.**

### Matters Related to Thesis Examination Arrangements

Students who wish to submit a thesis for examination are advised to note the following:

#### Submission of Form SGS09

1. The thesis examination includes thesis assessment, an oral examination and any other assessment arrangements that may be required by the Panel of Examiners.

Students should submit to SGS the attached **SGS09 form**, together with the following documents, **three months before** the expected thesis submission date:

- a. an abstract of the thesis;
- b. the original payment receipt of the examination fee HK\$1,000 (for MPhil students) or HK\$1,500 (for PhD students) (not applicable to students under the Mainland Collaboration Schemes) [*Students can pay the examination fee at any branch of the Hang Seng Bank through a pay-in-slip obtainable from SGS or make a direct deposit or ATM transfer to CityU's Hang Seng Bank account no.:024-293-318028-004 under the name "City University of Hong Kong" J*];
- c. a copy of the **Research Degree Planner** summary sheet (applicable to students admitted from 1 September 2014 onwards); and
- d. a copy of the Completion Report of Collaborative Institutional Training Initiative [CITI] Programme (applicable to CLASS students admitted from 2015/16 onwards).

#### Approval of Thesis Title and Submission of Theses for Examination

2. In case the proposed thesis title is not approved, SGS will inform the student separately.
3. By the intended thesis submission date, students should submit the following to SGS:

The required number of copies of the thesis (three for MPhil; four for PhD)  
[*In ring bound format in the form as prescribed in the "Regulations for the Form of Theses" in the Guidebook for Research Degree Studies (<http://www.cityu.edu.hk/sgs/rpg/student>).*]

Form SGS09A - Certifying Form for Submission of Thesis for Examination

Form SGS09B – Statement on the Extent of Research Collaboration

[*Forms SGS09A and SGS09B can be downloaded from the SGS website: <http://www.cityu.edu.hk/sgs/rpg/student>.*]

4. The submitted thesis will require the endorsement of the Supervisor and the Department Head/School Dean before being forwarded to the examiners for assessment.

#### Thesis Assessment and Oral Examination

5. SGS will send the relevant sections of examiner's Thesis Assessment Reports to the student before the oral examination if so agreed by the examiners.
6. Under normal circumstances, SGS will schedule the oral examination for students within 2-3 months from the date of submission of the thesis, while awaiting the examiners' comments. In the meantime, SGS will schedule a tentative date for the oral examination. The conducting of the oral examination is subject to confirmation by the examiners that the submitted thesis is of the required academic standard.
7. If the thesis is confirmed to be of the required academic standard by the examiners, an oral examination will be conducted.

If a unanimous recommendation for oral examination cannot be reached by the examiners in the thesis assessment, the case will be forwarded to the Department concerned and the College/School for consideration.

8. Students are required to present themselves at the oral examination. After the oral examination, the Panel of Examiners will make a recommendation to SGS.

#### Submission of Bound Thesis

9. After approval of the thesis and of any revisions required by the College/School, SGS will inform students to submit a printed copy of their thesis to SGS and upload an electronic copy to [CityU Scholar](#) normally within one month from the date of notification.

**Appointment and Duties of the Panel of Examiners for  
Research Degree and Professional Doctorate Programmes**

**Panel of Examiners**

1. Upon the recommendations of the Department and the College/School, the Committee on Research Degrees Candidature shall appoint a Panel of Examiners to examine candidates who have expressed the intention of presenting a thesis.
2. The Panel shall consist of:
  - (a) a Chairperson at Associate Professor grade or above. The appointee is also an internal examiner who has considerable research supervision and examining experience;
  - (b) at least one external examiner;
  - (c) one additional internal/external examiner for a PhD/Professional Doctorate examination panel; and
  - (d) the supervisor of the candidate.
3. The internal and external examiners should normally be at the grade of Associate Professor or above, and have appropriate expertise related to the subject area of the candidate's thesis. Appointment of examiners of a lower rank should be supported with justifications. External examiner(s) should be of high academic standing and with considerable experience in tertiary teaching. In special circumstances, external examiners may be appointed on the basis of relevant professional standing and experience.
4. If more than one external examiner is appointed to serve on the same examination panel, the external examiners should be from different institutions.
5. Members of the Qualifying Panel can also be appointed as internal examiners provided that they meet the requirements as stated in item 3 above.
6. Individuals studying a higher degree should not be appointed as examiners.

**Duties of the Chairperson**

7. The Chairperson, who is an internal examiner, must be present throughout the oral examination and ensure that:
  - (a) the examination is conducted in accordance with the regulations and requirements of the University, and in a fair and unprejudiced manner;
  - (b) the questions addressed to the candidate are fair, and clearly expressed;
  - (c) the examiners are all given sufficient opportunity to ask questions and the candidate is given sufficient opportunity to respond to the questions;
  - (d) the recommendations of the individual examiners are carefully considered, such that an overall recommendation may be arrived at in a fair and unprejudiced manner;
  - (e) the recommendation of the Panel of Examiners reflects the majority view of the examiners;
  - (f) the recommendation of the Panel of Examiners conforms to the guidelines of the University that govern thesis examinations;
  - (g) a report on the Panel's recommendation and the conduct of the examination is submitted to the Chow Yei Ching School of Graduate Studies after the examination.
8. If the Chairperson observes any irregularities during the conduct of the examination, he/she should report to the Dean of Graduate Studies immediately after the examination.

**Duties of the Examiners**

*(Applies to the supervisor, and the internal and external examiners unless stated otherwise.)*

**Theses Assessment**

9. Except for the supervisors, all the examiners shall examine the thesis prior to the oral examination and submit an assessment report to the Chow Yei Ching School of Graduate Studies, recommending that:
  - (a) the thesis forms an adequate basis for an oral examination (and other examinations as required); or

- (b) the thesis should be revised and submitted for re-examination before the oral examination (and other examinations as required); or
  - (c) the thesis is deemed unsatisfactory and no resubmission is permitted.
10. If the examiners cannot reach a unanimous recommendation on the thesis, the Committee on Research Degrees Candidature should make a final decision, upon the recommendations of the Department and the College/School. If there are divergent views between Department and College/School concerned, additional examiner(s) may be appointed, if deemed appropriate.

Oral Examination

11. The examiners must be present throughout the oral examination, and should prepare questions and discussion materials to be asked in the oral examination.
12. Notwithstanding paragraph 11 above, for an overseas external examiner, the oral examination can be conducted by tele-conferencing. If the external examiner is not available to participate in the examination via tele-conferencing, the Department and the College/School should appoint an additional examiner who can attend the examination. The additional member (either internal or external depending on the Department's/College's/ School's recommendation) will be treated as a full examiner, and be invited to raise questions and make recommendations on behalf of the absent overseas external examiner.
13. As a result of the examination of the thesis and the performance of the candidate in the oral examination, the examiners must be satisfied that:
- (a) the candidate has clearly demonstrated the ability and skills needed to conduct a major intellectual study, and has independently arrived at a successful conclusion;
  - (b) the thesis represents the candidate's own significant and original contribution to the subject;
  - (c) the candidate, both verbally and in writing, is able to present his/her thesis clearly, systematically, and coherently; and
  - (d) the candidate has convincingly and lucidly defended his/her thesis.
14. Following the oral examination, the examiners shall present a combined recommendation, on the basis of the evidence arising from the oral examination, via the Chairperson, to the Chow Yei Ching School of Graduate Studies. If there is disagreement among the panel members, individual recommendations should be presented to the Chow Yei Ching School of Graduate Studies for consideration.

Revised: 3 January 2018