# PhD Milestones - Thesis Defense

<table>
<thead>
<tr>
<th>Defense: (no later than student's 8th year in the program)</th>
<th>8 weeks prior</th>
<th>4 weeks prior</th>
<th>2 weeks prior</th>
<th>1 week prior</th>
<th>Defense Day</th>
<th>Graduation: Graduate School</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notify Galit of plans to schedule Defense</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Good Luck! If you pass with conditions - you must satisfy them within 60 days</td>
<td>Thesis must be submitted to the graduate School no later than 60 days after defense (schedule a pre-check appointment)</td>
</tr>
<tr>
<td>Check graduate faculty appointment status for all committee members.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Chair mails all original forms back to Galit (B141)</td>
<td>E-mail a copy to Galit - otherwise the program will not submit your final grade and you will not be allowed to graduate</td>
</tr>
<tr>
<td>Receive forms and further instructions.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Send final draft version of thesis to all committee members and Galit</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Forms:</strong> CLSC PhD Permission to Proceed to Defense - electronic signatures ok</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PhD Biosketch</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Thesis-Approval</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PhD Request to schedule Thesis Defense</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Thesis Defense checklist</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attendance Form</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Program Report</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Graduate School Report</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Graduate School defense Instructions</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The CTSA grant must be cited in the finalized version of the student’s Thesis and any publications resulting from it. The following language should be used when citing the grant:

“This project/publication is supported by NIH/NCATS Colorado CTSA Grant Number ULL TR002535. Contents are the authors’ sole responsibility and do not necessarily represent official NIH views.”

In addition, publications should be registered with PubMed Central.
CLINICAL SCIENCE GRADUATE PROGRAM
Thesis Committee Report

Student: ____________________________ Date of Meeting: ________________________

Research Mentor: ____________________ Dissertation Chair: ______________________

Committee Members in Attendance:
__________________________________________________________________________
__________________________________________________________________________

1. Has the student made satisfactory progress? YES  NO
   If yes, attach student’s progress summary.
   If no, explain the reasons.

2. Please list publications submitted, In Press, published and/or grants submitted, or awarded since the last committee meeting.

3. Is there evidence that the student is sufficiently committed to the research? YES  NO

4. Does the student have sufficient knowledge of the current literature?
   □ Exceeds expectations  □ Meets expectations  □ Below expectations

5. Is the student able to critically appraise evidence and various sources of information?
   □ Exceeds expectations  □ Meets expectations  □ Below expectations

6. Does the student have sufficient knowledge to apply legal, ethical, and regulatory issues related to clinical research and principles for the Responsible Conduct of Research?
   □ Exceeds expectations  □ Meets expectations  □ Below expectations

7. Did the student display the ability to select, use and interpret commonly used statistics and forms of analyses?
   □ Exceeds expectations  □ Meets expectations  □ Below expectations
8. Did the student demonstrate the ability to use appropriate research design to address the research questions or hypotheses?
   □ Exceeds expectations   □ Meets expectations   □ Below expectations

9. Does the student have ability to identify and measure clinically relevant and meaningful outcomes?
   □ Exceeds expectations   □ Meets expectations   □ Below expectations

10. Through the final research project, is the student participating in interdisciplinary research?
    YES  NO

11. Has the student communicated effectively (written and oral) in committee meetings?
    □ Exceeds expectations   □ Meets expectations   □ Below expectations

12. What are the specific concerns of the committee related to the project/student?

13. The committee recommends the following activities, experiments and/or goals to be accomplished by the next meeting.

14. Has the student been made aware of concerns, expectations or recommendations of the committee?
    YES  NO
    If yes, explain.

15. Are there any disagreements within the committee or between committee members and the student?
    YES  NO

16. Date by which next meeting should be held?

This form is to be submitted to the Clinical Science Graduate Program’s Administrative Office: Galit.mankin@cuanschutz.edu
Permission to Proceed to Defense

The following members of the Dissertation Committee have approved the thesis submitted
by ______________________ for the Thesis Defense Examination.

   Doctoral Candidate

Dissertation Chairperson _____________________________________________
Print name

Signature          Date

Research Mentor _____________________________________________
Print name

Signature          Date

Committee Member _____________________________________________
Print name

Signature          Date

Committee Member _____________________________________________
Print name

Signature          Date

Committee Member _____________________________________________
Print name

Signature          Date

This form is to be submitted to the Clinical Science Graduate Program’s Administrative Office: Galit.mankin@cuanschutz.edu
Exam Request

This form is due AT LEAST two weeks prior to the date of the examination. Use this form to schedule graduate examinations/defenses for masters and doctoral programs. See the instruction sheet for information on filling out this form.

Student Name: ___________________________  Student Number: ________________
Degree/Program: ___________________________

Type of Examination: (Check One)
- Master’s Thesis Defense (Plan I)
- Master’s Non-Thesis (Plan II)
  Choose one of the following:  
  - Project  
  - Report  
  - Comp Exam
- Doctoral-Comprehensive Examination
- Doctoral-Thesis Defense

How many doctoral dissertation credits appear on the transcript, up to and including the defense semester? ________________

Date of Exam: ________________  Time of Exam: ________________  Room Number: ________________

Thesis Title:
(Only Master’s Thesis and PhD Final Defense)

Thesis Advisor:
(Master’s Thesis and all PhDs)

Examination Committee (type names, no signatures):

<table>
<thead>
<tr>
<th>Faculty Name</th>
<th>Program Affiliation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chair:</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

If you are a PhD student completing your thesis defense, you must obtain your chairperson’s signature, approving the date of your defense.

Thesis Chairperson: ___________________________  Date: ________________

ALL students must obtain the signature of their graduate program director, approving the above information.

Grad. Prog. Director: ___________________________  Date: ________________
Graduate School
UNIVERSITY OF COLORADO
DENVER | ANSCHUTZ MEDICAL CAMPUS

The Final Examination of

for the Degree
Doctor of Philosophy

Date of Oral Examination:

Examination Committee (type names, no signatures):

<table>
<thead>
<tr>
<th>Faculty Name</th>
<th>Program Affiliation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Program:

Biographical Notes

Previous Degrees:
(Degree, Institution, Year)

Publications:
INSTRUCTIONS FOR DOCTORAL
STUDENTS PLANNING TO GRADUATE

All forms must be typed.

Signature Instructions:
If you are using Adobe Acrobat reader, you will need to fill out the form, print it, and obtain hard signatures. You cannot save any changes you make to the document, so be sure to print the form once you have completed it.

If you are using Adobe Acrobat professional, you can obtain all digital signatures. To sign the form digitally, you will click on the signature box in the form. A pop up box will appear that asks what you would like to do. You can choose an existing digital ID (choose this option if you already have created a signature and follow the process you would for other forms). If you have not digitally signed a PDF before, choose “A new digital ID I want to create now” and click “next”. On the next screen, choose “New PKCS #12 digital ID file” and click “next” (If you are a Mac user, this screen will not appear. Skip this step and move onto the next one). Enter your identifying information and click “next”. On the next screen, choose a file in which to store your signature for future use and create a password. Then click “Finish”. You will then be prompted to sign the document by entering your password. Enter your password and click “sign”. You will be prompted to save the form and once you have done so your digital signature will appear.

Once you have completed the form and signed it electronically, you can email onto others to sign digitally using the mail (it looks like a small envelope) at the top of the screen.

1. **Deadlines Calendar**
   A deadline calendar is provided for your information on the Graduate School website. Please call the Graduate School at 303-724-2915 (CU Anschutz) or 303-315-2183 (CU Denver) if you have any questions. **There are no exceptions to these deadlines.**

2. **Application for Graduation**
   The Registrar’s Office requires that students complete this diploma application at the beginning of the term in which you will graduate. The deadline is published on the Academic Calendar, but generally is the last day of add/drop registration for that semester.

3. **Request for Thesis Defense**
Students should fill out this form, obtain the required signatures, and return to the Graduate School at least two weeks prior to the date you plan to take the thesis defense.

STUDENT NAME - Your name as it appears on University records. No nicknames.
STUDENT NUMBER - Check with Admissions and Records if you are unsure of this.
DEGREE/PROGRAM - e.g. -PhD, Immunology; PhD, Civil Engineering
DATE OF EXAM - the month/day/year that you will take exam. Check with program advisor/program director if unsure.
TIME - the time the exam will begin (not any pre-exam seminar).
ROOM NUMBER - list the building and room number (NOT the room’s name).
SEMINAR – If applicable (not all programs require). Include the time and room number of your pre-defense seminar.
THESIS TITLE - Please type in upper and lower case letters.
THESIS ADVISOR - Type the name of the faculty member mentoring your thesis work - they may not be the chairperson for your committee (see below).
EXAMINATION COMMITTEE - All members must have current Graduate Faculty appointments. The chair of the committee must hold a regular graduate faculty appointment in the Graduate School. The student’s dissertation advisor may not chair the examination committee. List each member by their full name (don’t use nicknames or initials) and their graduate program affiliation per the drop down box.

CU Anschutz students: Your committee must consist of a minimum of five Graduate Faculty members. See the Graduate Faculty list online to check the faculty appointment term and program affiliations. At least one of the committee members must be outside your program’s core training faculty. The majority of the members, including the chair, must be from your program’s core training faculty. If the faculty member has multiple program affiliations listed on the website, list your program if that is one of their affiliations, or list their “sponsor” program if they are not affiliated with your program.

CU Denver students: Your committee must consist of a minimum of four Graduate Faculty members. Your committee chair must be a member of the degree-granting program. Please contact Jessica Halliday at 303-315-2183 or Jessica.halliday@ucdenver.edu for any questions regarding the status of an appointment for a committee member.

THESIS CHAIRPERSON REQUIRED APPROVAL SIGNATURE - Your chairperson’s signature is required to authorize the scheduling of the thesis defense on the date listed on the form. See information at the top of this page regarding signature instructions.

GRADUATE PROGRAM DIRECTOR REQUIRED APPROVAL SIGNATURE - This would be your Graduate Program Director. See information at the top of this page regarding signature instructions.
4. **Registration for the Examination**
   Students defending between semesters must register for the subsequent semester.

   **CU Anschutz students:** You are required to register for at least 5 thesis hours (8990) the semester you defend regardless of the number of thesis hours that have accumulated to date.

   **CU Denver students:** You are required to register for at least 1 thesis hour (8990) the semester you defend regardless of the number of thesis hours that have accumulated to date.

5. **Biographical Sketch**
   This form must be completed as directed and submitted to the Graduate School at least two weeks prior to the thesis defense. The form should be turned in with your Request for Scheduling PhD Thesis Defense form.

   Fill out the information on both pages. List your name and the date of the exam. In listing your committee, list only faculty member names and graduate program affiliation per the drop down box. The graduate program you list for your faculty will be the same as on your Request to Schedule Exam form. In the “Biographical Notes” section, you will list all of your previous academic degrees, including school, degree, and year of award; and then list your publications. If there are too many to fit within the established space, list only those that are applicable to your thesis. List your thesis title and advisor on the second page of the biosketch. Take the abstract from your thesis and copy it in the summary section. It should be no more than 350 words, single-spaced.

6. **Thesis Specifications.**
   The thesis specifications that are available online are the required guidelines that you must follow for the formatting of your thesis.

   **CU Anschutz students:** You must complete a mandatory thesis precheck that should be scheduled prior to your defense. Please call Milinda at 303-724-2911 at least two weeks prior to your defense to schedule the precheck.

   **CU Denver students:** You are required to submit an unbound, hard copy of your theses to the Graduate School by the deadline listed on the deadline calendar for format review.

   Final copies of theses are submitted electronically and must be submitted by the published deadline. If you miss the submission deadline, you will graduate the following semester. The information regarding the electronic submission process is available online.

7. **Statement of Approval of the Thesis**
   You must submit this form prior to the electronic submission deadline. Original signatures of all faculty are required. This form becomes a University document so care should be taken to keep the form unblemished prior to submission to the Graduate School (no staples, folding, white out).

8. **Survey of Earned Doctorates in the U.S.**
   From this link, you will be directed to the Survey of Earned Doctorates website to complete the survey. Once completed, you will be provided a certificate of completion. Print the certificate and submit it to the Graduate School prior to electronically submitting your final thesis. This certificate is part of the required documents for graduation.
9. **Electronic Thesis Submission**
All information needed regarding fees, submission, and forms, is outlined on the [Electronic Theses and Dissertations website](#).

**CU Anschutz students:** Please review the information specific to the CU Anschutz submission process. When you submit your thesis electronically, there are three forms you must submit to the Graduate School:
- Statement of Approval of the Thesis - complete with signatures
- [Survey of Earned Doctorates](#) certificate
- PhD exit survey completion email

**CU Denver students:** Please review the information specific to the CU Denver submission process. When you submit your thesis electronically, there are two forms you must submit to the Graduate School:
- Statement of Approval of the Thesis-complete with signatures
- [Survey of Earned Doctorates](#) certificate
CLSC PhD Program Checklist for Thesis Defense:
(Expectations of the Chair)

2-4 days prior to the Thesis Defense, ensure that you have received the necessary paperwork from Galit Mankin:

- Graduate School Defense Information/Instruction sheet
- Graduate School Thesis Defense Confirmation Sheet
- Graduate School Thesis Defense Results Report form
- CLSC Thesis Defense form
- CLSC Attendance Sheet
- Student’s completed coursework and grades record
- Copy of Student’s Thesis - should be provided by the student directly to the committee members
- Thesis/Dissertation Approval form – Student is instructed to complete the form on-line (from the GS website) and bring it to the defense in order to obtain signatures from all the committee members. The handling of this form is the responsibility of the student.

If you have not received these documents, please contact Galit Mankin at galit.mankin@cuanschutz.edu or 720-848-6249

Day of the Thesis Defense

***Confirm with the student that they have completed their thesis precheck meeting at the Graduate School

1. Have attendees sign in using the CLSC attendance sheet.
2. Introduce the candidate student and the title of his/her thesis.
3. Explain the structure of the Defense:
   - Open forum session will include PhD candidate’s presentation (approx. 50-55 mins) followed by questioning (approx. 30 mins)
   - Closed session follows (only committee members and candidate)
4. Following the presentation and questioning, thank and dismiss attendees and begin the closed session (ONLY committee members and the candidate student).
5. Ask the candidate to step outside the room (5-10mins), while the examination committee discusses the following points:
   - Ensure all members have read the Thesis
   - Determine order and format of questioning
   - Determine if there are major concerns of the candidate
6. Call candidate back into the examination room to begin closed session questioning.
7. Once questioning is completed, ask student to step outside the room (10-15 mins) until asked to return.

8. Chair the Committee member executive session
   a. Determine examination grade: pass, pass with conditions, or fail
      - If pass with conditions, the conditions need to be clearly documented and a date by
        which the conditions must be met identified on paper (conditions must be satisfied
        within 60 days), which is submitted to the CLSC Program Administrator, Galit Mankin.
   b. Committee members sign Graduate School Thesis Defense Report form
   c. Complete the CLSC Thesis Form with committee member input

9. Call the candidate back into the room to join the committee and share the results of the examination. If there are conditions, explain the steps that the student must complete and the timeframe for completion

10. Remind the student that the CTSA grant must be cited in the finalized version of the student’s Thesis. The following language should be used when citing the grant:
    “This project/publication is supported by NIH/NCATS Colorado CTSA Grant Number UL1 TR002535. Contents are the authors’ sole responsibility and do not necessarily represent official NIH views.”
    In addition, publications should be registered with PubMed Central.

11. Scan and e-mail the completed Graduate School forms and the CLSC forms to:
    Galit.Mankin@cuanschutz.edu

AT NO TIME IS THE STUDENT TO HAVE POSSESSION OF ANY OF THE GRADUATE SCHOOL FORMS
CLSC Defense Attendance Form

STUDENT: _________________________________

DATE: ____ / _____ / _____

ATTENDEES (please PRINT name clearly):

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
Rate the student’s ability regarding the CLSC core competencies taking into account the written thesis/dissertation, the oral presentation and response to questioning:

1. Applies legal, ethical and regulatory issues related to clinical research and principles for Responsible Conduct of Research.
   - Exceeds expectations
   - Meets expectations
   - Below expectations

2. Critically appraises existing literature and sources of information.
   - Exceeds expectations
   - Meets expectations
   - Below expectations

3. Accurately select, use and interpret commonly used statistics.
   - Exceeds expectations
   - Meets expectations
   - Below expectations

4. Apply and use appropriate study designs and methods to address research questions/hypotheses.
   - Exceeds expectations
   - Meets expectations
   - Below expectations

5. Identify and measure clinically relevant and meaningful outcomes.
   - Exceeds expectations
   - Meets expectations
   - Below expectations

6. Design and conduct clinically and patient oriented research studies.
   - Exceeds expectations
   - Meets expectations
   - Below expectations

7. Demonstrate effective communication and leadership skills.
   - Exceeds expectations
   - Meets expectations
   - Below expectations

8. Participate in interdisciplinary collaboration.
   - Exceeds expectations
   - Meets expectations
   - Below expectations

Type of research (select all that apply)  □  T0.5 □  T1 □  T2 □  T3 □  T4 □  N/A

Comments: