



RHODES UNIVERSITY

Where leaders learn

HIGHER DEGREES GUIDE

A handbook for Master's and Doctoral students at Rhodes University

Edited by the Research Office

RHODES UNIVERSITY

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1. PREFACE

The purpose of this *Higher Degrees Guide* is to provide a ready reference for Master's and Doctoral candidates and their supervisors and also provide useful information for Honours students. It contains material which is **essential** reading for higher degree candidates, as well as, it is hoped, much other useful information. Importantly, the booklet sets out the procedures which must be followed by higher degree candidates in that it brings together the University rules, the requirements of the Committee of Assessors and various Senate requirements (such as the guidelines for the supervision of higher degrees). Although it is anticipated that this booklet will prove to be a sufficiently comprehensive guide to the procedures and rules for higher degrees to meet the needs of candidates and supervisors alike, it must be emphasised that the Senate itself remains the authority on all questions relating to the rules as set out in the University Calendar.

This is a *guide* to higher degree study. It does not purport to cover every aspect of the process of earning a degree. For instance, the professional relationship between a candidate and a supervisor cannot be adequately characterised in a guide such as this. Many candidates come to appreciate their supervisors as mentors and it is not uncommon to find candidates maintaining contact with their supervisors throughout their careers. Furthermore, this makes no attempt to deal in depth with the actual process of writing a thesis. There are numerous guides to style and thesis writing which can be consulted for example Mouton, J "How to succeed in your Master's and Doctoral Studies" Van Schaik. Cape Town 2000. ISBN062702484 X). The requirements of different disciplines are too varied to make it possible to cover such material in a small booklet.

This handbook has been revised and expanded a number of times since the first edition, then called *A Brief Guide for Thesis Writers*, was compiled by Reuben Musiker (Deputy Librarian 1961-1972) in 1970. Various revised editions appeared between 1975-1996. Changes in supervision policy and procedures for the submission of theses and examination of Master's and Doctoral theses have led to the need for a further revision. This guide includes much of the material contained in the previous editions (often importing whole passages and sections verbatim) and is thus heavily indebted to the work of Musiker, Brown, Scott, Fourie and others.

The Editor is grateful for the comments and material supplied by colleagues, particularly the Registrar and his Division, the Deans of Faculties and others. Comments or suggestions for the improvement of this *Guide* are welcome.

An online version of this guide can be found at:

<https://www.ru.ac.za/documents/Applying/higherdegreessguide.pdf>

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2. HIGHER DEGREE STUDIES

2.1 Higher Degrees at Rhodes University

Depending upon their starting qualifications, candidates may register for an appropriate *Master's* degree (which may require the completion of course-work, or a thesis, or both), the degree of *Doctor of Philosophy* (PhD), or a *Senior Doctorate* (e.g. Doctor of Science). The PhD degree is normally obtained by means of research work and the subsequent presentation of a thesis. Senior Doctorates are awarded to scholars of international stature whose published works constitute a distinguished contribution to the advancement of knowledge in their field. Variations to the PhD are indicated below:

A PhD in **Psychotherapy** is a course-work programme in two parts. The first part consists of four written papers and a case study, the second of a thesis.

A PhD candidate in **Music and Musicology** is required to submit either a thesis or a set of compositions. Where compositions are submitted, they must consist of three original compositions and the candidate must also submit an explanatory statement referring to any important aspects of the scores including, in particular, a description of the form or forms employed and of any contrapuntal, harmonic and orchestrational devices used.

Doctor of Pharmacy (Pharm D): Suitably qualified Pharmacy professionals, who wish to specialize in clinical services and in the design and implementation of professional and clinical health-related systems, may be considered for registration for study toward this degree. The programme consists of a modular distance-learning didactic component, an on-site experiential programme at an approved clinical site and a research report based upon actual case studies. The duration of the course is three years.

PhD candidates in Science must, in addition, show that they understand the purpose of the investigation and that they have developed, or adapted, and used the appropriate methods and techniques.

2.2 *Ad eundem gradum* candidates

Where a candidate has extensive experience and/or is judged to have considerable potential as a researcher, but lacks the formal qualifications normally required for registration for a Master's degree, admission to a research programme as an *ad*

*eundem gradum*¹ candidate may be possible. The supervisor and the Head of the Department (HOD) will ultimately advise the candidate, on the basis of the progress made, whether the work should be submitted for a Master's degree or a Doctorate. Such a recommendation is subject to the approval of Senate and it should be noted that *ad eundem gradum* students are initially registered for a Master's degree.

2.3 Criteria for the award of a higher degree by thesis

Senate has set the following guidelines for the award of higher degrees by thesis.

A thesis for **the degree of Master** must show that the candidate:

- (a) is sufficiently acquainted with the appropriate methods and techniques of research;
- (b) is sufficiently acquainted with the relevant literature;
- (c) has both satisfactorily understood the nature of the problem or topic and assessed the significance of the findings;
- (d) has satisfactorily presented the results of independent research for the award of the degree in a manner which is satisfactory as to literary style and presentation, and free from grammatical and typographical errors.

When the award of the degree *with distinction* is under consideration, examiners are asked to look for evidence of real methodological and conceptual skills, clarity of exposition and development of argument, sound judgement, originality of approach, and some contribution to knowledge, and require that the thesis should reflect literary skills appropriate to the subject.

A thesis for the degree of **Doctor of Philosophy** must show that the candidate:

- (a) is sufficiently acquainted with the appropriate methods of research;
- (b) is sufficiently acquainted with the relevant literature;
- (c) has satisfactorily presented the results of independent research for the award of the degree;
- (d) has made a substantial and original contribution to knowledge in the discipline, the substance of which is worthy of publication in a scholarly journal or book. (A Doctoral thesis differs from a Master's thesis particularly in respect to this point).

In addition, the thesis must be satisfactory as to literary style and presentation. A PhD thesis cannot be merely a collection of published papers, nor may such published papers be included as annexures or inserts.

There are some variations on the above as indicated in Section 2.1.

¹ "To the same level".

3. THE HIGHER DEGREE PROGRAMME

There are a number of steps leading to the attainment of a higher degree.

3.1 Requirements for admission

3.1.1 Master's degrees

The normal requirement for admission to a Master's degree is a four-year qualification of an acceptably high standard, i.e. usually a three-year Bachelor's degree, plus a good Honours degree in a relevant subject, or a satisfactory pass in a four-year degree such as BPharm, BFineArt, etc.

***Ad eundem gradum* students should submit a full motivation for their admission with supporting documentation to the Head of Department. Please refer to the recognition of prior learning policy for more details.**

3.1.2 Doctoral degrees

A candidate wishing to apply for admission to a PhD programme must have: (i) a recognised Master's degree, **or** (ii) a recognised Honours, **or** a four-year Bachelor's degree plus at least one year's registration for an approved Master's degree, **or** (iii) a recognised three-year Bachelor's degree plus at least two years' registration for an approved Master's degree, **or** (iv) a recognised LLB degree or any qualification recognised by the Senate as being equivalent, **or** (v) in special circumstances, at the discretion of Senate, an approved Bachelor's degree or qualification recognised by the Senate as equivalent.

In practice, most PhD candidates have a Master's degree. However, Senate may, on the recommendation of the Faculty concerned, convert the registration of a candidate for the Master's degree to registration for a PhD degree. Such conversions require the Head of Department and supervisor to be satisfied that the student's completed work is of a standard normally expected of a doctoral student, that the student is capable of completing a doctoral degree and that the project is of a level and scope expected of a PhD study. Applications for conversion should normally be submitted for consideration to the Higher Degrees Committee of the appropriate Faculty between 12 to 18 months after first registration for the Master's degree. Please note: The relevant Higher Degrees Committee should be consulted for information on specific rules and criteria that may apply to upgrades in that Faculty.

3.2 Registration

3.2.1 Initial registration

Candidates for a higher degree should normally apply for admission to the University towards the end of the academic year before the one in which they intend to register for the first time. Applications are made through the Registrar's Office. The Registrar will supply an application form and put the candidate in touch with the Head of the relevant Department.

Applications must be supported by the candidate's full academic record and certified copies of all degree certificates. Candidates for a higher degree in Law should normally have obtained at least 65% aggregate for their final year of LLB. The Law Higher Degrees Committee may deviate from the aggregate requirement in appropriate cases. If applicants do not qualify on aggregate, then the Committee may request the candidate to be interviewed. An LLB dissertation (research essay) may be indicative of a student's capability to do research.

The closing date for applications for the current year is 1 May. Candidates who miss the closing date of 1 May, are deemed to have the next academic year as their year of first registration for the qualification even if they begin their research immediately. Students whose applications are finalised after 15 September will only be permitted to register in the following year. A pro-rata amount of the annual fee will be charged for those students registering after 1 May.

Applicants must make contact with a prospective supervisor in the first instance to discuss a potential project. They must then submit an application form and supporting documentation which together with a supervisor's form will be sent to the Head of Department and the Dean for consideration. If the Head of Department or the relevant Dean is not prepared to accept the applicant, the Registrar will be informed and asked to convey this decision to the applicant. If the Head of Department and Dean are satisfied that the applicant is a suitable candidate for higher degree study, that the proposed research topic is viable, and that the Department can provide adequate supervision and facilities, the application will be recommended for approval. The appropriate Faculty Board, in the case of a Master's degree, or the appropriate Faculty Board and Senate, in the case of a Doctoral degree must then approve the candidate's registration and the proposed research topic, and appoint a supervisor(s). The candidate will then be registered for a higher degree. The Registrar will inform the candidate that he or she has been accepted for the degree. (Candidates in the Faculty of Pharmacy should consult the Dean and the Faculty research brochure for further details concerning application and acceptance for higher degrees). Students registering for the first time for postgraduate studies and their supervisors must sign a statement to the effect that they agree will abide by the principles and rules of the Higher Degrees

Guide.

All full-time, in attendance postgraduate candidates shall normally report in person to their Department on or before 15 February each year.

3.2.2 Retrospective registration

Except by permission of Senate, retrospective registration for a higher degree will not be allowed. Senate will only entertain an application for retrospective registration in exceptional circumstances.

3.2.3 Commencement of studies

Once candidates have been registered they may commence their studies. Normally this takes effect from the start of a calendar year, but new candidates may start later (if after May, a pro rata amount of the annual fee will be charged). Candidates in the Faculties of Humanities, Commerce and Education are required to submit research proposals within three to six months of registration for consideration by the relevant Faculty Higher Degrees Committee which recommends acceptance or otherwise to the relevant Faculty Board.

Candidates who have been registered provisionally in the Faculty of Law for LLM or PhD degrees must submit detailed proposals. The proposals will be scrutinised and approved by the prospective supervisors. Supervisors may require candidates to redraft their proposals until the requisite detail and depth have been required. Candidates are then required to submit research proposals within four months for consideration by the Law Faculty Higher Degrees Committee which will recommend acceptance or otherwise to the Faculty Board. Supervisors must attend the Higher Degrees Committee whenever a proposal of one of their students is evaluated.

Candidates registering in the Faculties of Science and Pharmacy do not normally have to complete formal research proposals.

3.2.4 Re-registration

All higher degree candidates are required to re-register each year until the completion of the degree. **Failure to re-register before 15 February in a given year will result in the cancellation of registration and such a defaulter may be required to re-apply for admission as a candidate for the degree *ab initio*.**

In terms of the University policy on supervisory practice (section 3.4.1), candidates and supervisors are required to submit an annual progress report on a standard form (Appendix D) to the Registrar by the relevant due date at the end of each year detailing

progress in their research, before they are allowed to re-register or graduate, i.e. the report is also required at the end of the supervisory process. The reports will be considered by the Dean of the relevant Faculty who will bring any problems to the attention of the supervisor/Head of Department/ Research Office as appropriate. *Where the Dean is a supervisor the relevant reports will be submitted to the Research Office for consideration.*

3.2.5 Suspension of registration

Should there be *bona fide* reasons for a break in registration for higher degree research; a candidate may apply for a suspension of registration. Registration may only be suspended under **exceptional circumstances**, and is rarely done retrospectively. An application must be made to the Head of Department and is subject to the HOD's recommendation, that of the Dean, and the approval of the Faculty Board, and the Senate in the case of a PhD. Any obligation to sponsors should be taken into account when considering suspension of registration. Candidates wishing to discontinue or suspend their registration must give notice in writing to the Registrar before 15 February. You can only apply for a suspension of registration for one year in the first instance.

3.2.6 Minimum period of registration for a higher degree

The minimum period that a candidate may be registered for a Master's degree is set out in Rules G.50 and G.53: a full-time Master's candidate may obtain the degree one year after being awarded an Honours degree or a four-year degree such as the BPharm. Part-time Master's candidates must be registered for two years before they can graduate.

The minimum period for which a candidate may be registered for the PhD degree is set out in Rule G.62: this is three years if the candidate holds an Honours degree (or a LLB or BMus), or two years if the candidate holds a Master's degree.

It should be noted, however, that the required registration period does not include any period of suspension of registration. The Registrar will inform each higher degree candidate, on request, of the earliest date at which the candidate may graduate.

3.2.7 Maximum period of registration for a higher degree

In terms of Rule G.76, if a candidate has not completed a Master's degree within three years from first registration, or a PhD within five years from first registration (whether the degree is being taken full or part-time, and whether in attendance or not), the registration will be cancelled unless the Senate is satisfied that an extension is warranted.

Every year the Registrar brings to the attention of the Deans concerned the names of candidates who have been registered for longer than the periods indicated in the previous paragraph. The Deans contact Heads of Department and supervisors to obtain progress reports. The Deans consider these reports and advise the Faculty, in the case of Master's degrees, or Senate in the case of Doctoral degrees as to whether or not the candidate should be permitted to re-register.

3.3 The formal research proposal

In the Faculties of Humanities, Commerce, Education and Law a research proposal is considered initially by the Higher Degrees Committee of the Faculty, and then recommended for approval by the relevant Faculty Board (for Master's degrees) and Senate (for a PhD). Before submission to the Faculty Higher Degrees Committee, candidates must obtain the endorsed approval of their research proposal from the supervisor and the Head of the relevant Department.

A research proposal should be typed in one-and-a-half spacing on A4 paper and in 12-14 point font size. It should not be longer than five pages which does not include the supporting references. All proposals should be presented with a front page indicating the following:

- (a) Name of the candidate and the student number.
- (b) The degree for which the proposal is being submitted.
- (c) The Department in which the candidate will be carrying out the research and the subject or specific field in which research is to be carried out, unless this is implied by the name of the Department.
- (d) The title of the thesis or the field of research.
- (e) The type of thesis (whether a full thesis or thesis in partial fulfilment of the requirements for the degree).
- (f) The name(s) of the supervisor(s).
- (g) The estimated date of submission.

The proposal should be set out in five sections as follows:

Section 1

The **field of research** and the **provisional title** of the research project, with a brief description, if the title is not self-explanatory.

Section 2

The **context of the research**. This section provides the general information regarding the research that will be undertaken and should make it clear why the problem is worth addressing. It sketches the background and, where appropriate, should provide a brief theoretical framework within which the problem is to be addressed. It should address

the questions: What motivates the research? Why is it being undertaken? How will the results add to the body of knowledge? Where research arises out of problems encountered in personal, social, economic, historical, political or literary contexts, these problems should be briefly stated.

Key question: WHY?
Length: 2 - 3 pages

Section 3

The **goal(s) of the research**. This section should either set out the specific question(s) to which the candidate hopes to find an answer, or, in the case of open-ended topics in the humanities, outline the subject/area/field to be critically investigated. It should indicate clearly what the research intends to achieve and what the intended final deliverable is.

Key question: WHAT?
Length: ½ - 1 page

Section 4

Methods, procedures and techniques to be followed. This section describes the manner in which the research will be undertaken. Overarching methodology (descriptive, historical, quantitative) should be described and the steps involved explained. Where the methods used are well recognised in the discipline, they need only be briefly mentioned. Where they are not standard, or are innovative, a more detailed description is required, so that their viability can be assessed. This section should contain a description of “subjects” or research participants where appropriate, details of the sample size, a description of the study site if appropriate, the intended data analysis methods/techniques, the proposed time schedule for the research and ethical issues. Where there are ethical issues relating to human and animal subjects approval must be obtained from the University Ethics Committee. Details concerning the funding for the project and budgets should not be included.

Key question: HOW
Length: 1 page

Section 5

Provisional Table of Contents (optional). This section details a provisional table of contents for the final thesis and is a useful route map to guide the research.

Section 6

References. Important and relevant sources that support the proposed research and which provide a background to the research should be cited. Such source material referred to in the proposal should be cited in an appropriate and consistent style.

Referencing Websites. Candidates who make use of resources on the Internet must immediately save the relevant information and source information, to a compact disc, and this information, if used or cited in the thesis, must be submitted with the candidate's thesis for examination. The above would be particularly useful when candidates access sites that are not available in print form.

3.4 Supervision

Senate appoints at least one, and occasionally more than one supervisor, for each higher degree candidate. If more than one supervisor is appointed, one of the supervisors will be designated as the principal supervisor. Because approaches to supervision differ from department to department and from individual to individual, candidates and their supervisors should discuss the question of supervision early on in the project. Senate has, however, set out the University's general policy in matters relating to the supervision of candidates for higher degrees (section 3.4.1). These guidelines may be supplemented by more detailed guidance issued by individual Faculties or Departments. Sections 3.4.2 and 3.4.3 also provide guidelines of the general responsibilities expected of supervisors and candidates respectively.

Please note: In terms of the University policy of supervisory practice (3.4.1. below) the supervisory process should be documented.

3.4.1. University policy of supervisory practice

Introduction

The supervision of research is a complex process for a number of reasons. For many students, the research project they undertake at Rhodes is the first time they have been required to work at the level of independence appropriate to the qualification at which they are aiming. The divergent nature of students' academic backgrounds means that the level of guidance and support which has to be provided can vary enormously. Students' and supervisors' expectations and understandings of what constitutes supervision are often very different also and the one-on-one relationship of student to supervisor can compound such difficulties. The need to assure the quality of the supervision gives rise to the following principles:

Principles

- The roles to be played by both supervisor and student should be made as clear as possible and should preferably be arrived at through a process of mutual consensus.
- The supervisory process should be documented so that a clear record of

responsibilities and whether or not these responsibilities have been complied with is created.

This guide details responsibilities of both students and supervisors in considerable detail. Discussion about the roles of student and supervisor should be informed by the guide.

Supervisors may choose to record the supervisory process in whatever form most suits their disciplinary context. Access to the record must be provided to students on a regular basis, however, and the record should be signed by both student and supervisor to indicate agreement with its contents.

As a minimum, Master's and Doctoral students as well as their supervisors are required to complete an annual report online (<http://www.scifac.ru.ac.za/forms.htm>) detailing progress in their postgraduate work. The online reports, which should be submitted to the Registrar by the appropriate due date each year, will be considered by the Dean of the respective faculty who will bring any problems to the attention of the Supervisor/Head of Department/ Research Office as appropriate. Where the Dean is a supervisor the relevant reports will be submitted to the Research Office for consideration. Lack of progress may result in termination of registration.

3.4.2 The responsibilities of the supervisor

Before the project begins it is the responsibility of the supervisor:

- (a) to discuss with the candidate the responsibilities of supervisor and candidate as set out in this document;
- (b) to become familiar with the administrative regulations pertaining to Higher Degrees and with the *Higher Degrees Guide* and to direct the candidate accordingly;
- (c) to become acquainted with support services available at the University such as the library and computing services and to ensure that the candidate is aware of such services and makes use of them where appropriate;
- (d) to choose candidates carefully with regard to the abilities of the candidate, the facilities and expertise available in the Department, and with a realistic assessment of the time which the supervisor will be able to devote to the supervision of the project;
- (e) to assist the candidate where possible to obtain financial support for the research project;
- (f) to inform the candidate of any areas in which the supervision may be lacking in the expertise necessary for proper supervision and to recommend co-supervision where appropriate;
- (g) to inform the candidate, before the research begins, of any risks involved in the project, e.g. possible unavailability of data;

- (h) where appropriate, to clearly indicate to candidates what may be expected of them in terms of field trips, use of hazardous chemicals, etc.
- (i) where appropriate, to indicate to candidates that they may be required to sign confidentiality agreements;
- (j) to bring to the candidates attention the University policy on plagiarism;
- (k) to bring to the candidates attention the procedure for referencing websites, (3.3 Section 6).

During the course of the project it is the responsibility of the supervisor:

- (a) to negotiate with the candidate mutually acceptable arrangements regarding the sequence of tasks to be undertaken, target dates, submission of work for scrutiny and to set up a schedule of meetings between supervisor and candidate;
- (b) to give guidance in the formulation of the research proposal, to ensure that the candidate is conversant with the relevant research methods and techniques and, where necessary, to help the candidate to acquire the relevant research skills;
- (c) to ensure that the research conducted by the candidate complies with commonly accepted ethical standards for research in the discipline;
- (d) to be available for guidance and discussion and to be prompt and comprehensive in response to stages of work completed, in accordance with mutually agreed arrangements in terms of (a) above;
- (e) to motivate and encourage the candidate and to endeavour to maintain a positive attitude to the research and the candidate;
- (f) to alert the candidate to the academic requirements, the standard of language required, and any special conventions necessary in the presentation of a thesis;
- (g) to ensure at all times that the candidate is aware of inadequate or sub-standard work in order to avoid misdirection and wasted effort. This responsibility would include alerting the candidate to substandard linguistic ability;
- (h) to advise on the organisation and style of the thesis. The responsibility of the supervisor does not necessarily extend to the correcting of grammar, spelling and punctuation throughout the thesis;
- (i) to provide the opportunity for the candidate's work to be critically assessed by others with expertise in the field of study (for example, the research proposal should be presented, in seminar form, to the candidate's peers and interested academic staff and the supervisor should encourage the candidate to present papers at conferences and, where appropriate, to submit articles to relevant journals while their work is in progress);
- (j) to bring cases of conflict between the supervisor and the candidate to the attention of the Head of Department or, where the supervisor is the Head of Department, to the Dean of the Faculty;
- (k) to keep accurate records of the supervision process. The method of recording this process should be arrived at by mutual consent;
- (l) to provide the candidate with access to the record of the supervisory practice on

- a regular basis. This record should be signed by both candidate and supervisor;
- (m) to remind the candidate to submit an annual progress report and to submit a supervisor's annual report to the Registrar;
 - (n) to ensure, as far as the supervisor is able, that the thesis will meet the standards likely to be required by the external examiners.

At the conclusion of the project it is the responsibility of the supervisor:

- (a) to impress on the candidate the need to check drafts of the thesis for possible errors and instances of possible plagiarism before the thesis is copied and bound. (Poorly presented work reflects adversely on the candidate, the supervisor, the Department and the University);
- (b) to approve the abstract of the thesis in terms of Rule G.69.5.;
- (c) where required, to assist the Dean and Faculty in the case of Master's candidates, and the Committee of Assessors (COA) in the case of Doctoral candidates, with the nomination of examiners;
- (d) to submit a report if required to the Registrar on the manner in which the research was conducted. In cases where the supervisor does not approve the submission of the thesis, the supervisor is **required** to submit a report;
- (e) in the case of Doctoral candidates, to decide whether it is necessary to make any additional statement on the project or candidate to the Committee of Assessors (Where ongoing interaction is known to have occurred between the candidate and an external examiner nominated by the COA, this **must** be reported to the COA);
- (f) to act critically as an internal examiner, when required (this will be required only under exceptional circumstances);
- (g) to take careful note of the reports of external examiners so that future research and supervision can be improved.

3.4.3 The responsibilities of the candidate

Before the project begins it is the responsibility of the candidate:

- (a) to be fully informed about the degree requirements and procedures at Rhodes University;
- (b) to discuss with the supervisor the responsibilities of supervisor and candidate as set out in this document;
- (c) to prepare thoroughly for the research project;
- (d) to ensure that the proposed research project will not duplicate previous research;
- (e) to be prepared to adopt a serious approach to the task;
- (f) to arrange financial support for the project, where appropriate, and pay the

- required admission and registration fees;
- (g) to be satisfied that the supervisor is capable of performing the supervision at the required level;
- (h) to suggest to the supervisor that a co-supervisor be appointed where the candidate deems it necessary;
- (i) to sign confidentiality agreements where appropriate to the project concerned;
- (j) to be fully informed about the University policy on plagiarism;
- (k) to be fully informed on the procedure for referencing websites, (3.3 Section 6).

During the course of the project it is the responsibility of the candidate:

- (a) to manage personal and financial affairs with minimal intrusion on the research;
- (b) to maintain a professional attitude to, and relationship with, the supervisor(s), sponsors and any other members of the research group;
- (c) to negotiate with the supervisor, mutually acceptable arrangements regarding the sequence of tasks to be undertaken, target dates, submission of work for scrutiny and the schedule of meetings between supervisor and candidate;
- (d) to not expect the supervisor to be available without an appointment or prior arrangement;
- (e) to be fully prepared for such supervisory meeting (e.g. leaving written material such as thesis chapters with the supervisor well in advance of meetings to discuss such material);
- (f) to take the initiative in making and maintaining contact with the supervisor and in bringing to the supervisor's attention any research related problems which the candidate may be experiencing;
- (g) to make positive suggestions to the supervisor about the next stage of the work;
- (h) to become familiar with the relevant literature in the field;
- (i) to be aware that while the responsibility for the research rests ultimately with the candidate who must ensure that there is conformity with the University regulations, the advice of the supervisor concerning ethical issues within the research design and procedure, and the use of special apparatus and materials, should not be ignored;
- (j) to record and report observations honestly and to examine experimental approaches critically;
- (k) to acknowledge accurately all sources of information used and assistance received and to ensure that all material complies with the University policy on plagiarism (see (d) below);
- (l) to consult with the Head of Department if the candidate has a complaint about the adequacy of supervision or about any other matters affecting research (where the supervisor is the Head of Department, the candidate should consult with the Dean of Faculty);
- (m) to bring cases of conflict between the supervisor and the candidate to the attention of the Head of Department, or where the supervisor is the Head of

- Department, to the attention of the Dean of the Faculty;
- (n) to keep accurate records of the supervisory process by a method arrived at by the mutual consent with the principal supervisor;
 - (o) to sign the records of the supervisory process;
 - (p) to submit an annual progress report to the Registrar;
 - (q) to register timeously every year and to pay the fees in time.

At the conclusion of the project it is the responsibility of the candidate:

- (a) to follow the procedures laid down for preparation, submission and examination of the thesis;
- (b) to take responsibility for stylistic presentation of the thesis, including grammar, spelling and punctuation. The supervisor should not be expected to check grammar, spelling, typographical errors, corrections of references, etc;
- (c) to acknowledge accurately all sources of information used and information received;
- (d) to check the thesis with text-matching software in order to avoid possible instances of plagiarism.

3.5 The thesis

3.5.1 Style

It is impossible, in a brief guide, to cover the actual writing of a thesis. There are diverse requirements for different disciplines and there are many guides (of varying quality) to the writing process. The supervisor and library references should be consulted for guidance. The Centre for Higher Education Research, Teaching and Learning (CHERTL) and the Research Office can also provide support to staff and candidates regarding the supervision and writing process. Examples of guides which can be consulted: Mouton, J “How to succeed in your Master’s and Doctoral Studies” Van Schaik. Cape Town. 2001. (ISBN062702484 X - Rhodes University Library).

3.5.2 Format and number of copies

Candidates are required to make their own arrangements in respect of word processing facilities for preparing their theses.

The University does not lay down any regulation regarding format. Unless the thesis writer has a special reason for preferring a different format, the A4 page size should be used. The text should be prepared single sided using one-and-a-half spacing between

lines. Whatever the chosen format specimen pages should be discussed with the supervisor well in advance of preparation of the final version.

The number of copies required by the University for examination depends on the number of examiners appointed. For Master's theses at least two examiners are appointed and Senate requires that at least three examiners be appointed for a PhD. Normally three copies will be required for a Master's degree and four for a PhD. The Registrar will advise the candidate of the number of copies required. These copies should be suitably bound. Ring binding is the norm.

Upon completion of the examination procedure, two or three loose-leaf copies, depending on Faculty requirements, are required by the library. Submission of an electronic copy on disk is also encouraged and should be prepared in Adobe Acrobat Portable Document Format (PDF). These copies should only be produced once all corrections have been made and approved by the Faculty Board or the COA. Loose leaf and electronic final copies must be accompanied by a letter signed by the principal supervisor and/or Head of Department, stating that these copies are the full and final versions of the thesis.

3.5.3 Declaration of originality

A thesis must be accompanied by a declaration on the part of the candidate as to the extent to which it represents their own work. Candidates are also required to submit a statement certifying that the thesis has not been submitted for a degree at any other university. A standard form for this purpose will be issued when candidates inform the Registrar that a thesis is to be submitted for examination. This form should be completed and returned when the thesis is submitted for examination. It should **not** be bound into the thesis itself.

3.5.4 Copyright

All authors in South Africa, including writers of theses, are bound and protected by the Copyright Act 98 of 1978, which may be consulted in the University Library. In terms of this Act, the copyright of the thesis is vested in the writer.

Notwithstanding this Rules G.58 and G.71 state that if the thesis has not been published in a manner satisfactory to the Senate, the University shall have the right to make copies of the thesis from time to time for deposit in other universities or research libraries. The University may also make additional copies of it, in whole or in part, for the purposes of research. The University may, for any reason, either at the request of the candidate or on its own initiative, waive its rights. Electronic copies of the thesis will be published on the World Wide Webb (www) or Rhodes University intranet (thereafter on the www after a period of one to five years) depending on what the

student and supervisor agree upon. Where applicable a total embargo on publication of the contents (or part) of the thesis may be requested for an agreed period.

3.5.5 Arrangement of contents

The component parts of a thesis should normally appear in the following order:

(a) Preliminaries

Title-page

The recommended form is as follows:

Title of the thesis.

A statement that the work is submitted in fulfilment/partial fulfilment (in the case of half theses) of the requirements for the appropriate degree of Rhodes University.

Full name of the candidate.

Month and year in which the thesis is submitted.

(Examples of a title page are given as Appendix B.)

Abstract

Every thesis must be accompanied by a double-spaced typewritten abstract in English of not more than 350 words. If the thesis is in a language other than English, it must in addition be accompanied by an abstract in the language of the thesis. Neither references nor illustrative materials such as tables, graphs or charts should be included in the abstract.

The abstract must be approved by the supervisor(s) of the thesis and on acceptance of the thesis will be submitted to University Microfilms International for publication and distribution.

The abstract **must** be placed immediately after the title page.

Table of contents.

List of tables, figures, illustrations, plates.

Preface. This may include acknowledgements, if desired, and if acceptable to the candidate's department.

(b) Text

Introductory chapter.

The text, appropriately divided into chapters, sections, and/or parts.

Conclusion.

(c) Reference materials

Appendices.

References/Bibliography.

Index. If a thesis is published as a book after its acceptance by the University, an index will almost certainly be necessary, but a candidate will rarely need to provide one at the examination stage. Fortunately, sophisticated word processing packages have made this task far less onerous than it used to be.

3.5.6 Numbering of pages

It is usual to number the preliminary pages with lower-case Roman numerals (i, ii, iii, etc), counting the title page as the first page, even though this must not bear a number. The rest of the thesis should be numbered in one sequence of Arabic numerals (1, 2, 3, etc).

3.5.7 Alternative arrangements

Individual departments may have their own preferred practice and this should be ascertained. It is essential that candidates discuss the format of the thesis with their supervisor and that they look at recent theses handed in to their Department. If the thesis is set out in a way which differs from the arrangement outlined above the rules should be carefully checked (for example, the placing of the abstract immediately after the title page is *required*).

3.5.8 Length of a Master's degree thesis

Except in exceptional circumstances approved by the Senate, the normal upper limit for Master's degree theses and the Master of Education degree by research is 50 000 words of text (approximately 150 A4 pages of one-and-a-half spaced typing excluding footnotes, illustrative material and appendices).

The length of a thesis for Master's degrees by course work and research should normally not exceed 30 000 words, but should not, under any circumstances, exceed 50 000 words (100 to 150 pages, respectively, of one-and-a half spacing, excluding footnotes, illustrative material and appendices). The MEd thesis in a course work degree should not normally exceed 30 000 words.

3.5.9 Style guides, footnotes/endnotes and bibliography

A candidate *must* follow a consistent and recognised style for the layout,

footnotes/endnotes, referencing method and bibliography. Departments may require candidates to adopt the style of a particular professional journal or to conform to the practice laid down by the Department. All thesis writers should ascertain such requirements at the start of their research project to avoid unnecessary revision of work.

If a candidate's Department does not specify a preferred style, the candidate should adopt an appropriate style from professional journals or guides to thesis writing.

A full narrative style is required with detailed literature reviews, methodology and results sections. Theses comprised of a collection of published or submitted papers are not acceptable.

Candidates who require assistance with aspects of thesis writing or production should consult their supervisors, Heads of Department or the Librarians.

Bibliography. Scientific co-authored paper references relating to the candidate (here assumed to be **B. Baker**) are required to assume the following sort of format:

Abel, A., **B. Baker**, C. Charley & D. Dogge (2002) Seasonal variations in the mating patterns of *Lascivia teenageria*. *Journal of Appropriate Research*, 17(3), 13-19.

This paper resulted from the ABCD project 2001/99 for which I was Principal Investigator. My main role in production of this paper was the experimental design and revision of initial and final drafts. Dr. Abel was the main architect for the work and did most of the analysis, under the guidance of Professor Dogge, and the writing under my supervision. Mr. Charley contributed substantially to the experimental design and collection of field data and assisted with editing the manuscript.

Baker, B., E.Ezey & F.Fox (2003) Towards the use of curvilinear models for predicting the development of Eastern Cape resorts. *J. Lo. Impact Factors*, 36(D), 24-36.

I compiled and wrote this paper, illustrating key points by drawing on a range of analyses, principally by colleagues. Ms. Ezey was responsible for the development and application of curvilinear models, while Dr. Fox played a major role in the design of model-based statistical analyses.

3.6 Policies and Procedures for cases of plagiarism

In establishing this policy for Rhodes University, the faculties recognise that plagiarism by students in the preparation of assignments, practical reports and research

projects is a longstanding problem. This problem is one that has in recent times been exacerbated both by the ease of access to information from the Internet and by a lack of understanding on the part of our incoming students about how to use the works of others in an academic context. At Rhodes, a university which measures itself against the highest international standards of academic and professional practice, we need a clear statement regarding what is and is not acceptable, which serves as a common policy across all faculties.

Please refer to Appendix K for a breakdown of policies and procedures for dealing with cases of plagiarism at the postgraduate level.

An online version of plagiarism may be found at the following link:

<http://www.ru.ac.za/library/infolit/use.html>

3.7 Submission and examination

It is the responsibility of candidates to decide when they are ready to submit their theses (subject, of course, to the rule concerning the period of registration). In general, a candidate will be expected to submit the thesis only when their supervisor agrees to its submission, but the University will not insist on the approval of the supervisor before accepting submission of the thesis. It must be noted, however, that a thesis may be submitted for examination only once, though in certain circumstances the examiners may invite a candidate to revise and re-submit the thesis.

A thesis may be submitted at any time during the year, but candidates must indicate their intention to submit a thesis by writing to the Registrar at least two months prior to submission for Master's and for Doctoral theses. Candidates who intend to submit a thesis for examination for consideration of the award of the degree at an April graduation ceremony must submit their thesis to the Registrar not later than 15 December or 1 November (MBA).

If a candidate cannot meet the annual deadline for submission, the University may be unable to have the examination completed in time for the next set of graduation ceremonies, which normally takes place in April each year.

Candidates will be supplied with a "Supervisor's statement" form, an examination entry form, a declaration form and thesis electronic access approval form which should accompany the thesis when it is submitted.

At the time of submission, any pro-rata fees due (see section 5.1 below) will be debited to the candidate's account. The candidate's student fee account must be settled in full before the examination result can be released.

Every attempt is made to complete the examination process in as short a time as possible and in time for the next set of graduation ceremonies. However, the primary consideration is an entirely fair yet comprehensive examination of the thesis, with emphasis on the maintenance of high standards. For this reason, the most appropriate and best examiners are chosen (often from outside the country). So, while the University seeks to have the examination completed as quickly as possible, time is not an overriding consideration. The University is also unable to guarantee that the examiners will submit their reports by the recommended date.

The Registrar will contact candidates immediately the outcome of the examination process is known and it must be stressed that **the University does not undertake to reach a decision on the award of a degree by any specific date.**

Interference in the examination process in any way could invalidate the entire examination and the award of the degree. Not even the nomination of examiners will be discussed with, or disclosed to candidates. Only when a decision has been made about the award of the degree, will the names of the examiners be made known to candidates, and then only if the outcome is a positive one and provided the examiners have given their consent. Similarly, after a decision has been made, all or part of an examiner's report may be made known to candidates only if the examiner agrees to this.

3.7.1 Special Rules for the Master of Fine Art

- A Master of Fine Art candidate must notify the Head of Department in writing when and where he or she intends mounting an exhibition for submission for examination. This notification must be furnished no less than six weeks before the envisaged date of submission.
- A Master of Fine Art candidate must submit his or her long essay or thesis to the university prior to his or her exhibition being submitted for examination. Should a candidate have failed to submit his or her long essay or thesis, the examination of his or her exhibition will be cancelled and the candidate will be obliged to reschedule its submission with the Head of Department.
- The candidate rather than the university will be liable for any costs that may be incurred if:
 - a. the candidate changes the date of his or her external examination after travel arrangements for an examiner have already been made; or
 - b. the candidate has failed to submit his or her written component or thesis when his or her exhibition has been submitted for examination, and the examination has therefore needed to be cancelled or postponed.

3.8 Publication

One of the guidelines for the PhD is that the thesis should show that the candidate has made a substantial and original contribution to knowledge in the discipline, the substance of which is worthy of publication in a scholarly journal or book.

The University encourages the publication of work done for higher degrees (with the supervisor as joint author, where appropriate). There is little point in doing non-classified research unless the findings of the research are communicated to other workers in the field for their information and assessment. Every attempt should thus be made to publish as much of the thesis material as possible.

Some theses may be suitable for publication in full as books. More often, papers will have to be prepared from suitably edited sections of the thesis. Where papers are submitted for publication in journals, every attempt should be made to have the papers published in recognised and accredited journals. These are journals which are recognised by the Government's Department of Education for subsidy purposes. They nearly always use peer review as the criterion for publication. A list of these journals may be obtained from the Research Office.

It is the responsibility of the supervisor to encourage publication and work is often published jointly under the names of the candidate and the supervisor. In most departments it is accepted that if the research is not published by the candidate within a reasonable period the supervisor is entitled to publish the data and be cited as the first author.

A Doctoral thesis, accepted by the University and subsequently published in whatever form, must bear the inscription: "Thesis approved for the degree of Doctor of Philosophy of Rhodes University", or "Thesis approved in partial fulfilment of the degree of Doctor of Philosophy of Rhodes University", as the case may be. Similarly, an example of the inscription for a Master's thesis would be: "Thesis approved for the Master of Arts degree of Rhodes University".

3.9 Graduation

Graduation ceremonies normally take place during the short vacation in April each year. (The title 'Dr' and the letters MA, MSc, PhD, etc, may only be used after graduation either *in praesentia* or *in absentia*.)

Full particulars about graduation, including academic dress, are forwarded to successful candidates from February through March, following the letter from the

Registrar announcing approval of the award of the degree. All enquiries about graduation should be directed to the Registrar's Office.

4. RESEARCH RESOURCES AVAILABLE

Research is impossible without access to information. Rhodes University offers two primary ways of doing so: through use of the Library and by means of the computing facilities available to candidates.

4.1 The Library

The Rhodes library has the largest and most extensive library collection in the Eastern Cape and also subscribes to several electronic bibliographic databases.

The library has full-text access to a large number of electronic journals via subscriptions and various databases, and it makes use of a wealth of evaluated resources which are available on the Internet.

For a comprehensive list of its resources and a detailed description of the services which the library offers, visit their homepage:

<http://www.ru.ac.za/library/>

4.2 Information Technology

The Information Technology Division provides computer and networking resources and user support to all departments and researchers at the University. A great deal of autonomy is given to researchers in setting up their own computing environment, with assistance available if requested. However, the Information Technology Division has a number of centralised Unix, Windows and Novell servers which are used to service the email and file storage needs of campus users. There are more than 3000 university provided PCs on the campus, and more than 7000 registered users.

Rhodes has a 7-megabit link to the Internet via the South African Tertiary Education Network, TENET, and Internet access is freely available to all members of staff and students. 24 hour per day access is available to undergraduates, mainly from public/teaching laboratories containing some 500 PCs. Senior undergraduate, postgraduate and research access is usually provided in the many departmental labs or from office PCs.

Access from town for staff and students is supported by means of a modem pool handling dialup PPP. A limited number of DSL connections are also available. Each of the 40 residences and annexes at Rhodes - some 2600 rooms - contain network points that allow students to connect their own PCs to the campus network. In the 2008 academic year, more than 2000 student PCs were registered and connected.

5. FINANCIAL MATTERS

5.1 The costs involved

There is an annual registration (tuition) fee for a higher degree which includes the cost of examination. These fees change annually. The current fee information may be obtained from the Finance Division.

Candidates must pay the annual registration fee each year until the completion of the degree *even if they make no call on a supervisor's time in any particular year*.

Master's and PhD students do not have to pay the minimum initial payment at registration but must ensure that the registration fee is paid by the end of May. Alternatively, the fee may be paid by debit order over ten months from January each year. Candidates who wish to pay by debit order should contact the Student Fees Office. Please also note that the re-registration of returning Master's and PhD students can only be processed if there is no outstanding balance on the fees account from the previous year. A late registration fee will be charged from 15 February.

If, in their final year, Master's and PhD candidates fail to make the deadline for the submission of the thesis, a pro-rata amount of the annual registration fee is charged, provided the thesis is handed in before the end of June. (For example, if a PhD thesis is handed in during March the registration fee for the year will be a quarter of the annual registration fee.) If the thesis is handed in after the end of June the full annual registration fee is payable. **It must be noted that this paragraph relates to *financial penalties only*: if the official deadline for submission is not met, there is a strong possibility that the thesis may not be examined in time for graduation at the following round of graduation ceremonies.**

5.2 Funding for Master's and Doctoral degrees

Scholarships, bursaries and loans are available from the University for higher degree study. Application should be made to the Research Office.

In addition, graduate assistantships administered by departments and various other forms of assistance are available from a variety of funding agencies and sources such as the National Research Foundation (NRF) and industry. Because these differ widely for the various disciplines, supervisors are best placed to advise you about possible sources of financial assistance. (Although obtaining financial support is the candidate's responsibility, supervisors will assist you with this, wherever possible).

6. THE EXAMINATION OF A MASTER'S DEGREE THESIS

The examination procedure for a Master's degree differs from that for a PhD. This chapter sets out the procedure for Master's degrees, and, so far as students are concerned, is given for information only. Candidates are not in any way involved with the examination process.

6.1 Appointment of examiners

6.1.1 Full theses

In all cases the most appropriate examiners should be chosen, and with particular care when the thesis is multidisciplinary, or has some local applicability. The nomination of examiners may not be discussed with or disclosed to the candidate.

Two examiners, external to the University, are appointed by the Faculty Board for each candidate. Normally two examiners from the same institution should not be appointed; at least one of the examiners should be a member of academic or research staff at a University or recognised research institute and, preferably and where appropriate, at least one should be from outside South Africa or have demonstrated an international research standing.

Supervisors shall be excluded from examining.

Previous members of staff of Rhodes University should not be appointed as examiners within three years of having left the staff of Rhodes University.

Normally examiners should not have had any previous collaborative research or supervisory interaction with the candidate in the context of the study being examined. Where such interaction is known to have occurred between the candidate and an examiner, this must be reported to the Dean of the Faculty who shall determine whether or not the examiner should be appointed in that particular instance.

Examiners should have no communication with the candidate, relating to the thesis or examination thereof, until the process is complete and the candidate has been officially informed of the outcome.

6.1.2 Half theses

In the case of a Master's degree undertaken by coursework and half thesis, two examiners, external to the University, are appointed by the Faculty Board for each candidate. In exceptional cases one of the examiners may be internal to the University. Other conditions relating to the appointment of examiners should be as indicated

above for full theses. In addition, it is desirable that the external examiner is the same for the coursework as for the thesis.

6.1.3 Confidentiality of examiners

From the outset of the examination process, the examiners will be informed that their identity and reports will normally be revealed to the candidate at the end of the examining process. The examiner may request otherwise, and the Dean in consultation with the Vice-Chancellor, may agree to withhold the identity of the examiner and/or the whole or part of the report on good cause.

6.2 Supervisor's report

At the time of submission of a thesis, the supervisor is required to indicate whether the thesis has been submitted with his/her approval. If the supervisor does not approve the submission of the thesis, the supervisor is required to submit a report. This report will be used as detailed in 6.4 below, but will not normally be made available to the examiners, and certainly not before they have submitted their independent reports on the thesis. If required, at the end of the examination process the examiners may be informed whether the thesis was submitted with or without the approval of the supervisor.

6.3 Recommendations open to examiners

The recommendations open to examiners include:

- (a) Acceptance of the thesis and award of the degree, with or without distinction.
- (b) Acceptance of the thesis once minor corrections and/or revisions have been made (to the satisfaction of the supervisor or the Head of Department).
- (c) Requirement of clearly specified major revisions to the thesis and re-examination of the revised thesis.
- (d) Rejection of the thesis.

In addition, examiners will be asked for a formal report on the thesis which should be sufficiently detailed to allow the Dean to reach an informed judgement.

6.4 Collation of examiners' reports

Normally the Head of Department will collate the examiners' reports and the supervisor's report (if applicable), and make a formal recommendation to the Dean on the result of the examination. Where the Head of Department is directly involved (as a supervisor and/or examiner), the Dean (or the Deputy Dean if the Dean is directly involved), or the Deputy Vice-Chancellor: Research & Development, or a senior

member of the Department nominated by the Dean (normally in that order of selection) will perform this task, so ensuring that the responsibility does not fall to someone who has acted as supervisor or examiner. The recommendation will be forwarded to the Dean or Deputy Dean of the Faculty.

6.5 Procedure to be followed by the Dean (or Deputy Dean)

6.5.1 Following unanimous agreement by the examiners

6.5.1.1 Thesis not referred back to the candidate

If there is unanimity amongst the examiners and no reason to refer the thesis back to the candidate for revision, the Dean (or Deputy Dean if the Dean is the supervisor) of the Faculty may accept the recommendations and approve the award of the degree, with or without distinction (see 6.6), on behalf of the Faculty Board. Such decisions shall be submitted to the next meeting of the Faculty Board for noting. The Registrar then immediately informs the successful candidate and the supervisor of the approval of the award of the degree.

6.5.1.2 Thesis referred back to the candidate for minor correction and/or revision

If there is unanimity amongst the examiners that the degree should be awarded and no reason to refer the thesis back to the candidate for major revision, but some minor correction or revision has been suggested, the Dean (or Deputy Dean if the Dean is the supervisor) of the Faculty may accept the recommendations, subject to the candidate considering the examiners' suggestions and making the appropriate changes to the satisfaction of one of the following: (a) the supervisor; (b) the supervisor and/or Head of Department; (c) the Head of the Department; (d) the examiners. (The most frequent recommendation is that corrections be made to the satisfaction of the both the supervisor and the Head of Department.)

After being assured that the appropriate changes have been made, the Dean or Deputy Dean shall approve the award of the degree, with or without distinction (see 6.4), on behalf of the Faculty Board. Such decisions shall be submitted to the next meeting of the Faculty Board for noting. The Registrar shall then immediately inform the successful candidate and the supervisor of the approval of the award of the degree.

6.5.1.3 Thesis referred back to candidates for major revision

If the examiners indicate that the degree should not be awarded and that it be referred back to the candidate for major revisions, the Dean (or Deputy Dean if the Dean is the supervisor) of the Faculty will advise the Registrar accordingly. The Registrar will send letters clearly indicating that revisions are required to the candidate, the Head of

Department and the supervisor.

The candidate may be required to re-register for the duration of the process (a pro rata fee will be charged where appropriate). Once completed, the original examiners may be required to re-examine the thesis after revision, or new ones may be appointed, and the thesis will once again be examined following normal procedures.

In all cases referred to in 6.5.1.2 and 6.5.1.3, loose leaf copies of the revised thesis must be submitted to the Registrar by a date published each year in order to graduate that year. Failure to submit revised copies of theses within six months of the result of the examination will result in the degree not being awarded.

6.5.1.4 Thesis Rejected (failed)

In cases where the examiners recommend rejection of the thesis, General Rule 59.1 states that an application to resubmit a Master's thesis which has been rejected (failed) shall not be entertained, but that Senate may, on the advice of the examiners, invite a candidate to re-submit a thesis in a revised or extended form. Candidates taking up the offer to resubmit need to inform the Registrar in writing of their anticipated date of handing in the revised thesis and complete the relevant forms afresh.

6.5.2. Following a lack of agreement amongst examiners

If there is lack of agreement among the examiners, the Dean (or Deputy Dean if the Dean is the Supervisor) and the Deputy Vice-Chancellor: Research & Development shall, after consultation with the Head of Department and the Supervisor, determine whether or not the degree should be awarded or whether further negotiation with the examiners is necessary. If the Dean and the Deputy Vice-Chancellor: Research & Development agree that further negotiations are not necessary, the Dean shall recommend the award or rejection of the degree in terms of the procedures outlined in 6.5.1. Should the Dean and the Deputy Vice-Chancellor: Research & Development fail to agree, an arbiter may be appointed by the Faculty Board, or by the Dean or Deputy Dean acting on behalf of the Faculty Board. The arbiter shall receive a copy of the thesis and of all the reports, and shall be required to make a recommendation as to whether or not the degree should be awarded. The Dean or Deputy Dean shall make the final decision, which normally shall follow the arbiter's recommendation. In the event of the Dean or Deputy Dean declining to follow the arbiter's decision, the matter shall be referred to the Vice-Chancellor, whose decision shall be final.

6.6 Award of the degree with distinction

6.6.1 Specific criteria for the award of a distinction

The University reserves the award of a distinction for work of outstanding merit, while

recognising that the Master's degree represents not more than one or two years' full-time research, and is, in many instances, the first research experience of the candidate. When recommending a distinction, examiners are asked to look for evidence of real methodological and conceptual skills, clarity in exposition and development of argument, sound judgment, originality of approach and some contribution to knowledge, but not necessarily to expect total coverage of a major problem or a substantial breakthrough in a new area. The thesis must also reflect literary skills appropriate to the subject.

6.6.2 Procedure for the award of a distinction

If all examiners agree that the degree be awarded with distinction, the recommendation forwarded to the Dean or Deputy Dean (see section 6.2) shall be accepted accordingly. Normally if one examiner objects to the award of a distinction, no distinction will be considered. However, where one examiner recommends a distinction and the other indicates that he or she would not object to a distinction being awarded, the Dean (or Deputy Dean if the Dean is the Supervisor) and the Deputy Vice-Chancellor: Research & Development shall, after consultation with the Head of Department and the Supervisor, determine whether or not the degree should be awarded with distinction or whether further negotiation with the examiners is necessary to reach consensus. If the Dean and the Deputy Vice-Chancellor agree that further negotiations are not necessary, the Dean shall recommend the award of the degree with or without the distinction, as per their agreement. Should the Dean and the Deputy Vice-Chancellor fail to agree, an arbiter shall be appointed by the Faculty Board, or by the Dean or Deputy Dean acting on behalf of the Faculty Board. The arbiter shall receive a copy of the thesis and of all the reports, and shall be required to make a recommendation as to whether or not the degree should be awarded with distinction. The Dean or Deputy Dean shall make the final decision, which normally shall follow the arbiter's recommendation. In the event of the Dean declining to follow the arbiter's decision, the matter shall be referred to the Vice-Chancellor, whose decision shall be final.

For a distinction to be awarded in the case of half theses, the candidate should have obtained a sub-minimum of 70% for the course work, and 75% or more for the research. The combined mark should be 75% or more.

6.6.3 Revised thesis

A Master's degree will normally not be awarded with distinction to a candidate whose thesis has been re-examined after revision.

6.7 Subsequent Procedures

The Registrar shall advise the examiners of the outcome and, where the Vice-

Chancellor decides this should be done, the reasons for the decision.

7. THE EXAMINATION OF DOCTORAL THESES

7.1 Committee of assessors

The Dean of the relevant Faculty shall approve a Committee of Assessors (COA) for each candidate when the candidate intimates that the thesis is to be submitted. The COA shall consist of:

- (i) The relevant Dean (or nominee of the Dean) who shall chair the COA.
- (ii) Two or three permanent core group members. These permanent members should be academic staff from the relevant Faculty with proven experience as supervisors and examiners, and are to be elected by each Faculty normally for three-year, renewable terms of office.
- (iii) The Head of Department (HOD), or if the HOD is a core member, a nominee of the HOD.
- (iv) If required, one or two members with experience in the subject area of the thesis.
- (v) The supervisor(s).

7.2 Appointment of examiners

- (a) The Registrar will call for the nomination of at least three examiners, external to the University, for approval by the Senate.

In all cases the most appropriate examiners should be chosen, and with particular care when the thesis is multidisciplinary, or has some local applicability. The nomination of examiners should not be discussed with or disclosed to the candidate.

Normally two examiners from the same institution should not be appointed; at least two of the examiners should be members of academic or research staff at a University or recognised research institute and, preferably and where appropriate, at least two should be from outside South Africa or have demonstrated an international research standing.

Supervisors shall be excluded from examining.

Previous members of staff of Rhodes University should not be appointed as examiners within three years of having left the staff of Rhodes University.

Normally examiners should not have had any previous collaborative research or supervisory interaction with the candidate in the context of the study being examined. Where such interaction is known to have occurred between the

candidate and an examiner, this must be reported to the Registrar who, together with Dean of the Faculty, shall determine whether or not the examiner should be appointed in that particular instance.

Examiners should have no communication with the candidate, relating to the thesis or examination thereof, until the process is complete and the candidate has been officially informed of the outcome.

- (b) The Registrar will submit the names of examiners to the appropriate Faculty and to Senate for approval.
- (c) When examiners are invited to act they will be informed that if they accept the invitation any contact with other examiners or the Head of Department must take place only through the Registrar.
- (d) In the event that an examiner is unable to act, the Registrar will require further nominations from the supervisor.

7.2.1 Confidentiality of examiners

From the outset of the examination process, the examiners will be informed that their identity and/or reports will normally be revealed to the candidate at the end of the examining process. The examiner may request otherwise, and the Chair of the COA in consultation with the Vice-Chancellor, may agree to withhold the identity of the examiner and/or the whole or part of the report for good cause.

7.3 Supervisor's report

At the time of submission of a thesis, the supervisor is required to indicate whether the thesis has been submitted with his/her approval. If the supervisor does not approve the submission of the thesis, the supervisor is required to submit a report. This report will be used as detailed in 7.5 below, but will not normally be made available to the examiners, and certainly not before they have submitted their independent reports on the thesis. If required, at the end of the examination process the examiners may be informed whether the thesis was submitted with or without the approval of the supervisor.

7.4 Report form for examiners

Examiners will be asked for a recommendation on the thesis by indicating one of the following:

- (a) that the candidate be awarded the degree and no corrections need be made to the

- thesis;
- (b) that the candidate should be awarded the degree after minor corrections and/or specified changes have been made to the satisfaction of the supervisor and/or Head of Department;
 - (c) although the thesis does not meet the required standard, the candidate should be invited to do further work if necessary, revise and resubmit the thesis for re-examination by the examiners;
 - (d) the degree should **not** be awarded to the candidate.

In addition, examiners will be asked for a formal report on the thesis which should be sufficiently detailed to allow the COA to reach an informed judgement.

7.5 Procedure on receipt of examiners' reports

When all the examiners' reports have been received, the Registrar will collate and send them to the relevant Dean or Dean's nominee who shall summarize these and forward the reports and summary to the COA for their recommendation. A formal meeting of the COA must be constituted if there is any major disagreement by the members of the COA in terms of these recommendations.

The COA should report to the Registrar and Vice-Chancellor within two weeks of receipt of the examiners' reports. The report must list one of the following recommendations:

- (a) the degree be awarded;
- (b) the degree be awarded but that minor corrections be made to the thesis. Those corrections should not delay the award of the degree;
- (c) the candidate should be awarded the degree subject to completing any specified changes to the thesis, to the satisfaction of the relevant supervisor and/or Head of Department with the final approval by the Chair of the COA;
- (d) although the thesis does not meet the required standard, the candidate should be invited to do further work if necessary, revise and resubmit for re-examination by the examiners; (it must be pointed out to the candidate that this may be done only once);
- (e) the degree should **not** be awarded to the candidate.

In the event of major disagreement between the examiners, the Chair of the COA should explore the possibility of reaching consensus, if necessary by sending all the unnamed examiners' reports to each examiner for further consideration. If consensus appears unlikely, the COA may recommend one or more of the following procedures, but when the examiners disagree **and** at least one examiner recommends (d) or (f), the COA **shall** recommend one or more of the following procedures:

- (i) the appointment of a fourth examiner, who would be invited in the usual manner;

- (ii) the appointment of an external assessor who would read the thesis and all the (unnamed) examiners' reports and would report on the thesis;
- (iii) the candidate should submit to an examination on the subject of their thesis and on the whole field of study which it covers;
- (iv) that the thesis be revised and re-examined by the dissenting examiner(s);
- (v) the degree not be awarded.

The report of the COA should be sufficiently comprehensive to convey to the Vice-Chancellor the reasons for the recommendation of the COA and where the examiners disagree, shall include a formal record of the COA meeting.

The report, together with the examiners' reports must be submitted by the Registrar to the Vice-Chancellor for approval on behalf of Senate or put to a meeting of Senate for its consideration.

Neither the result nor the names of examiners' should be given to candidates until Senate has taken a final decision. Examiners' names and their reports, edited where appropriate, may be revealed where applicable to candidates. Candidates who are required to make minor corrections to their thesis, must do so prior to submission of the loose-leaf library copies.

7.6 Procedures for dealing with corrections

A letter clearly indicating that revisions are required will be sent to the candidate by the Registrar. Copies will be sent to the Head of Department or Head of Department and supervisor depending on who is required to approve the corrections

The person appointed by the COA to supervise corrections will liaise with the candidate to indicate which corrections or amendments to the thesis are necessary.

In the case of (c) recommendations by the COA:

(c) Award of degree subject to minor corrections and/or specified changes

Relevant sections of the examiners' reports should be extracted by the person/s appointed to supervise such corrections. When these corrections have been satisfactorily completed, the appointed person/s certifies this to the Chair of the COA and thence to the Vice-Chancellor who will then approve the award of the degree on behalf of Senate. Only at this stage may examiners' names be revealed, as noted above.

(d) Thesis to be revised and resubmitted

By extracting relevant sections of the examiners' reports, the appointed person/s should convey to the candidate the nature of the revisions required. As the dissenting

examiner(s) will normally be re-examining the revised thesis, it is essential that anonymity of examiners be preserved.

If the COA recommendation requires either major changes, or revision and re-submission, the COA may recommend that the candidate be requested to supply the COA (and Senate at the time of re-submission) with a statement indicating the candidate's response to each of the examiners suggestions item by item. Reasons for not accepting a suggestion should be given. The request to supply such a statement does not detract from the prime importance of the candidate answering the external examiners' criticisms with the altered thesis. The statement is for the use of the COA and may be sent to an examiner at the discretion of the Vice-Chancellor.

After the corrections have been approved the candidate must submit the required number of loose-leaf copies of the thesis to the Registrar by a date published each year in order to graduate that year. These copies of the thesis are deposited in the University Library after graduation. Failure to submit revised copies of the thesis within six months of the result of the examination will result in the degree not being awarded.

7.7 Subsequent procedures

The Registrar shall advise the examiners of the outcome and, where the Vice-Chancellor decides that this should be done, the reasons for the decision as well.

8. WHAT NEXT?

8.1 Postdoctoral studies

On successfully completing a PhD, researchers may wish to broaden their research experience by spending a year or more as a Postdoctoral scholar at Rhodes University or elsewhere. There are many opportunities to do this and your PhD supervisor can often arrange such a position through their professional contacts. Contact the Research Office for details of the grants available.

8.2 Senior Doctorates

A Senior Doctorate from Rhodes University may be awarded to a scholar of international stature (there is a tradition, but no stated requirement, that a candidate for such a Senior Doctorate should usually hold a PhD from Rhodes) whose published works constitute a distinguished contribution to the advancement of knowledge in that field.

It is to be stressed that a Senior Doctorate is not usually the next step after a doctorate. A Senior Doctorate is awarded to a well-established senior scholar of international stature. A candidate who is not a senior scholar or scientist with a long-held and substantial international reputation is unlikely to be successful.

Prospective candidates for Senior Doctorates should communicate with the Registrar in the first instance and refer to the Rules and guidelines for Senior Doctorates in the Calendar (reprinted in Appendix A).

APPENDIX A GENERAL RULES

The following is an extract from the 2008 Calendar of the University. It is part of the section headed *GENERAL RULES FOR DEGREES, DIPLOMAS AND CERTIFICATES*.

AD EUNDEM GRADUM STUDENTS

G.49

Persons who have graduated at another university, or who are able to give satisfactory evidence of their qualifications, may be specially exempted from the Matriculation Examination of the Matriculation Board, and may be admitted as students to courses of special study and research at the University. Such persons may, on completion of such courses, be admitted to a degree of Master or Doctor; provided that they before being so admitted:

- 49.1** have paid such fees as may be subscribed;
- 49.2** have been registered as a student of the University for not less than two years;
- 49.3** have attended at the University such courses as may be prescribed;
- 49.4** have undertaken research upon a subject approved by the Senate;
- 49.5** have presented a satisfactory report, dissertation or thesis upon the research undertaken; and
- 49.6** have complied with such further conditions as may be prescribed by the Senate.

DEGREE OF MASTER (ALL FACULTIES)

G.50

Subject to the provisions of Rule G.49 candidates shall not be admitted to the degree of Master in the Faculty of Humanities (except the degree of Master of Music and Master of Fine Art), or of Science, or of Commerce, until at least two years after admission to the degree of Bachelor or one year after admission to the degree of Bachelor with Honours in such Faculty, or, in the case of the degrees of Master of Education by thesis, Master of Fine Art, Master of Laws and Master of Music, until at least one year after admission to the degree of Bachelor. Special entry criteria for the degree of Master of Education by coursework and thesis are listed in the Faculty of Education Rules. Except with the permission of Senate a candidate for the degree of Master of Education by coursework and thesis will be allowed a maximum of three years' registration in which to fulfil all requirements for the degree.

- 50.1** Candidates for Master's degrees should register at the beginning of the academic year. New applicants may register up to 1 May.
- 50.2** Normally only students holding an honours degree will be accepted as candidates for the degrees of MA, MSc, MCom, or MSocSc. Students

holding an ordinary degree will be accepted only in exceptional cases.

50.3 Only students who have been admitted to the degree of Bachelor of Laws and who have attained a sufficiently high academic standard will be admitted as candidates for the degree of Master of Laws.

50.4 Only students who have been admitted to the degree of Bachelor of Pharmacy and who have attained a sufficiently high academic standard will be admitted as candidates for the Master's degrees in the Faculty of Pharmacy.

50.5 Candidates who have obtained the BPharm degree may not present their thesis for a Master's degree until at least 18 months after the date of registration for the MSc or MPharm degree.

G.51

No persons shall be admitted as candidates for the degree of Master unless they have obtained the approval of the Board of the Faculty, on the recommendation of the Head of the Department concerned.

G.52

Candidates for the degree shall be registered for and attend an approved course of study or research at the University for the period prescribed in Rule G.50: provided that the Senate may exempt candidates from such attendance or part thereof, and may instead require them to perform such work as it may prescribe during that period.

52.1 When a candidate's subject of research has been approved, such approval will remain in force so long as the annual registration fee is paid.

G.53

The Faculty shall appoint a supervisor or supervisors, to advise a candidate. At least one of the supervisors so appointed must be a member of staff. For the purpose of this Rule, members of associated institutes who are also members of a faculty of the University are regarded as members of staff. Candidates may be permitted to register in an associated Research Institute without requiring a co-supervisor in a related academic department, but the research proposal must be approved by the Dean after considering a recommendation from a member of a cognate department. At least one of the supervisors for such candidates must be a member of the relevant Faculty Board.

53.1 The Senate has decided that candidates for the degree of Master who are exempted from attendance under Rule G.52 will be required to report in person to their supervisors from time to time as directed by the latter, and that the time in which such a candidate may qualify for the award of the degree will be extended by one year (i.e. they must be registered candidates for the degree for at least two years); provided that Senate may waive the additional year in the case of candidates who are conducting full-time research under approved conditions.

G.54

Senate may, on the recommendation of the Board of the Faculty concerned, convert

the registration of a candidate for the Master's degree by thesis to registration for the PhD degree if they consider that the work is of a standard normally expected of a doctoral student.

G.55

At least two months before the candidates present their theses, they shall give notice in writing to the Registrar of their intention to do so.

55.1 Candidates must submit their theses not later than 15 December in the year in which they hope to graduate.

G.56

The Senate may prescribe the form in which a thesis shall be submitted, and the number of copies required.

56.1 Such copies, when submitted, shall become the property of the University.

56.2 The Senate requires that for a full thesis, three suitably bound copies of the thesis be presented for examination (two copies for a half thesis). Additional copies may be required depending on the number of examiners. The Registrar will inform the student of the exact number of copies required.

56.3 After the examination process has been completed two or three corrected loose-leaf copies of the thesis are to be submitted together with a statement from the Head of Department (and supervisor where appropriate) indicating that the corrections have been completed to their satisfaction and that these are the final corrected versions of the thesis. The Registrar will inform the student of the exact number of copies of the final version of the thesis required.

56.4 Candidates are also encouraged to submit an electronic version of the corrected thesis in PDF format for deposit in the open access Rhodes eResearch Repository (ReRR). **Candidates and supervisors who would like an embargo period of between 1 and 5 years before deposit in the ReRR should specify this in a statement supplied with the electronic version.** If required, assistance with conversion to a PDF format will be provided by the Information Technology Division.

G.57

A thesis shall be accompanied by a declaration on the part of the candidates as to the extent to which it represents their own work. This declaration must be approved by the supervisor.

G.58

If, at the date of its presentation, the thesis has not been published in a manner satisfactory to the Senate, the University shall have the right to make copies of the thesis from time to time, for deposit in other universities or research libraries, and to make additional copies of it, in whole or in part from time to time, for the purposes of research. The University may, for any reason, either at the request of the candidate or on its own initiative, waive its rights.

G.59

Subject to any exceptions approved by the Senate, candidates may not present themselves for the examination for the degree more than twice in the same subject.

59.1 An application to re-submit a thesis which has been rejected shall not be entertained, but the Senate may, on the advice of the examiners invite a candidate to re-submit a thesis in a revised or extended form.

G.60

The degree may be awarded with distinction.

G.61

In the case of a candidate for the degree of Master of Music, the word "thesis" includes a set of musical compositions in such form as may be prescribed by the Senate.

DEGREE OF DOCTOR OF PHILOSOPHY (ALL FACULTIES)**G.62**

Subject to the provisions of Rules G.49, a candidate shall not be admitted to the degree of Doctor of Philosophy until at least three years after admission to the degree of Bachelor with Honours (in any Faculty), or of Bachelor of Laws, or of Bachelor of Education, or of Bachelor of Music, or until at least two years after admission to the degree of Master.

G.63

Candidates for the degree of Doctor of Philosophy in any Faculty shall be registered for and attend an approved course of special study or research at the University for the period prescribed in Rule 62; provided that the Senate may exempt candidates from such attendance or part thereof, and may instead require them to perform such work as it may prescribe during that period.

63.1 Candidates for Doctor's degrees should register at the beginning of the academic year. New applicants may register up to 1 May.

G.64

Before registration, candidates for the degree shall obtain the approval of the Senate to the subject of special study or research which they propose to pursue.

64.1 When a candidate's subject of research has been approved, such approval will remain in force so long as the annual registration fee is paid.

G.65

The Senate shall appoint a supervisor or supervisors to advise a candidate. At least one of the supervisors so appointed must be a member of staff. For the purposes of the Rule, members of associated institutes who are also members of a Faculty of the University are regarded as members of staff. Candidates may be permitted to register in an associated Research Institute without requiring a co-supervisor in a related academic department, but the research proposal must be approved by the Dean after considering a recommendation from a member of a cognate department. At least one of the supervisors for such candidates must be a member of the

relevant Faculty Board.

65.1 The candidate shall work in such association with the supervisor as the Senate may direct.

G.66

Candidates shall submit a thesis on the results of their study which shows evidence of originality and independent research.

G.67

At least two months before candidates present their theses, they shall give notice in writing to the Registrar of their intention to do so.

67.1 Candidates must submit their theses not later than 15 December in the year preceding that in which they hope to graduate.

G.68

The Senate shall appoint at least three examiners for each thesis. In exceptional circumstances one examiner may be internal to the University.

G.69

The Senate may prescribe the form in which a thesis shall be submitted, and the number of copies required.

69.1 Such copies, when submitted, shall become the property of the University.

69.2 The Senate requires that for a full thesis, four suitably bound copies of the thesis be presented for examination. Additional copies may be required depending on the number of examiners. The Registrar will inform the student of the exact number of copies needed.

69.3 After the examination process has been completed two or three corrected loose-leaf copies of the thesis are to be submitted together with a statement from the Head of Department (and supervisor where appropriate) indicating that the corrections have been completed to their satisfaction and that these are the final corrected versions of the thesis. The Registrar will inform the student of the exact number of copies of the final version of the thesis required.

69.4 Candidates are also encouraged to submit an electronic version of the corrected thesis in PDF format for deposit in the open access Rhodes eResearch Repository (ReRR). **Candidates and supervisors who would like an embargo period of between 1 and 5 years before deposit in the ReRR should specify this in a statement supplied with the electronic version.** If required, assistance with conversion to a PDF format will be provided by the Information Technology Division.

69.5 Every thesis must be accompanied by a double spaced typewritten abstract in English of not more than 350 words. In addition, if the thesis is in a language other than English, it must be accompanied by an abstract in the language of the thesis. No illustrative materials such as tables, graphs or charts should be included. The abstract must be approved by the supervisor of the thesis and will, in the case of successful doctoral candidates, be

submitted to University Microfilms International for publication and distribution. The abstract must be bound together with the thesis and be placed immediately after the title page.

G.70

Candidates shall submit a declaration, satisfactory to the Senate, stating to what extent the thesis is their original work, and certifying that it has not been submitted for a degree at any other university.

G.71

If, at the date of its presentation, the thesis has not been published in a manner satisfactory to the Senate, the University shall have the right to make copies of the thesis from time to time, for deposit in other universities or research libraries, and to make additional copies of it, in whole or in part, from time to time, for the purposes of research. The University may for any reason, either at the request of the candidate or on its own initiative, waive its rights.

G.72

Candidates may be required by the Senate, if the examiners so recommend, to submit to a written or oral examination on the subject of their thesis and on the whole field of study which it covers.

G.73

An application to re-submit a thesis which has been rejected shall not be entertained, but the Senate may, on the advice of the examiners, invite a candidate to re-submit a thesis in a revised or extended form.

G.74

A thesis accepted by the University, and subsequently published in whatever form, shall bear the inscription: "Thesis approved for the degree of Doctor of Philosophy of Rhodes University", or "Thesis approved in partial fulfilment of Doctor of Philosophy of Rhodes University", as the case may be.

G.75

In the case of a candidate for the degree of Doctor of Philosophy in Music, the word "thesis" includes a set of musical compositions in such form as may be prescribed by the Senate.

GENERAL RULES FOR HIGHER DEGREES

G.76

Senate may suspend or cancel the registration of any candidates whose progress it considers to be unsatisfactory.

76.1 If candidates have not completed their Master's degree within three years from first registration or their PhD degree within five years from first registration or six years if their PhD was upgraded from a Masters degree, their candidacy will lapse unless the Senate is satisfied that an extension is warranted.

GUIDELINES FOR SENIOR DOCTORATES

G.77

When applicants indicate their wish to submit work for a Senior Doctorate, the Board of the Faculty, on the recommendation of the Head of Department, supported by a full motivation, will consider recommending to Senate the acceptance of the work for examination.

G.78

If Senate approves the acceptance of work for a Senior Doctorate, the candidate must submit for the approval of the Senate, six copies of published work suitably bound dealing with some subject falling within the scope of the studies represented in the University, or, in the case of the degree of Doctor of Music, a set of musical compositions, in such form as may be prescribed by the Senate. Such work shall constitute a distinguished contribution to the advancement of knowledge in that field.

78.1 Copies so submitted shall become the property of the University.

G.79

The Senate shall appoint at least three examiners for each candidate. In exceptional circumstances one examiner may be internal to the University.

G.80

Every work submitted for the degree must be accompanied by a declaration on the part of the candidate satisfactory to the Senate, to the effect that it has not been submitted for a degree at any other university.

Candidates for a Senior Doctorate should communicate with the Registrar, in the first instance.

BREACHES OF RULES

G.81

Subject to the provisions of the Higher Education Act and the Rhodes University Statute, the Senate may *ex post facto* condone any breach of the rules governing a curriculum, if it is satisfied that:

81.1 the students concerned are not themselves responsible for the breach of rules;

81.2 if the breach is not condoned the students concerned would be put to undue hardship; and

81.3 the rule broken is not of fundamental importance.

APPENDIX B

RHODES UNIVERSITY

APPLICATIONS FOR MASTER'S AND DOCTORAL DEGREES (Thesis or Coursework/Thesis)

APPLICANT'S FORM

Please read this form carefully, complete it accurately, and attach any further explanatory documents to it.

This form must be submitted to the Academic Administration Office (Registrar's Division).

An electronic copy of this form may be downloaded from the following sites:

**<http://www.ru.ac.za/applying/postgraduates/mastersanddoctors/mastersanddoctorsforms>
or <http://www.scifac.ru.ac.za/forms.htm>**

This form is to be completed by all applicants who wish to apply to enrol for a Master's or PhD degree.

The closing date for applications for the current year is 1 May. (Full-time candidates must register and report on or before 15 February). Candidates who miss the closing date of 1 May, are deemed to have the next academic year as their year of first registration for the qualification, even if they begin their research immediately. Students whose applications are finalized after 15 September will only be permitted to register in the following year.

This form, and supporting documentation, including a similar one which your prospective supervisor may be called upon to complete independently, will be evaluated by the Dean of the Faculty.

If your application is deemed to be satisfactory, the Dean will either approve your admission to study on behalf of the Board of the Faculty (in the case of the Master's) or recommend to Senate that it be approved (in the case of the PhD degree). If the information shows that further discussion is needed, the Dean will initiate such discussion. In some cases it may, unfortunately, be necessary to reject an application, for reasons which will be indicated to you in due course.

Candidates once accepted, or provisionally accepted, may commence their studies.

Candidates must report to supervisors or before 15 February in each successive year of registration - normally this applies to the first year of registration as well

Together with this form you are required to furnish a copy of your previous academic record, including details of other postgraduate degrees or diplomas which you may have been awarded. This will usually and ideally come in the form of an "academic transcript", listing the courses and degrees which you have completed, and the marks or grades obtained. You are also advised to provide other evidence of your qualifications, such as certified copies of your degree certificates.

If you are applying to embark on a research degree (as opposed to one by coursework only) you should be aware that this is not something to be undertaken lightly. Rhodes University is committed to producing research of the very highest quality, and to providing students with the supervision, techniques, tools and insights to make that possible. This cannot be done unless prospective research students have done their homework, usually in conjunction with prospective supervisors, to ensure that the conditions for doing quality research can be met. That is, students and prospective supervisors must engage in discussion **before** the application forms are completed and submitted. **In particular, the topic of research must be clearly defined.**

Further useful information relating to postgraduate study is to be found in the Rhodes University "Higher Degrees Guide" which students should consult for assistance in determining the obligations of supervisors and candidates. The guide can be found on-line at: <https://www.ru.ac.za/documents/Applying/higherdegreessguide.pdf>

and is also obtainable in a **printed form from the Registrar's Division.**

-
1. Application for admission in (year)
 2. Surname (CAPITALS)
 3. Title First Names
 4. Postal Address
-Postal Code
- Home Telephone No:.....Other Telephone No:.....
- Fax No:.....E-mail Address.....

5. Highest degree obtained so far.....When obtained.....

Where obtained.....

(Attach an academic transcript or copies of your degree certificates to this application.)

6. Rhodes University student number if known:

7. Department in which you wish to study:

8. Degree (MA, MCom, MSc, MFA, MMus, MSocSci, PhD)

9. Proposed area of specialisation (in a few words, for example, English Literature, Cosmology, Financial Management).....

10. **(May only be applicable to Master's and PhD by thesis only).**

It is **essential** that you have a provisional research topic in mind, after discussion with a prospective supervisor. Please indicate this topic (in a phrase or sentence, for example "War poets of the 20th Century). *See also 23 below.*

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11. Do you wish to carry out your studies full time or part time?

12. If you wish to carry out your studies part-time briefly indicate why this is so.....

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13. Will you be conducting your studies "in attendance", that is, in Grahamstown at Rhodes University?

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14. If you cannot study "in attendance", please indicate why not and where the research will be carried out.....

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15. All research candidates are expected to have some face-to-face contact with their supervisors. If you wish to be a part-time student, or not "in attendance", please indicate how often and for how long you will be able to come to Rhodes

University for meetings with your supervisor.

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16. When do you hope to commence your studies?

17. By when do you hope to complete your studies?.....

18. The normal period of full-time study for a Master's Degree is two years, and for a PhD four years. Although it is permissible to complete the degree in a shorter period, if you foresee that you will take longer, please indicate the reason.

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19. What sources of funding do you have to support your studies?.....

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20. What additional sources of funding have you applied for?

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21. What is your home language?

22. English is the medium of instruction at Rhodes University. Non-English speakers may be required to demonstrate proficiency in English such as a recent score (3 years) of at least 570 on the TOEFL or a recent band score of 7.0 on the IELTS. If you are not English speaking, indicate briefly what experience you have had in communicating in English.

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23. **(Only applicable to Master's and PhD research degrees by thesis only).**

In an attachment (no longer than half a page) to this form, describe the nature of your proposed research and how you plan to undertake to the process. In some Faculties, students are only provisionally accepted until such time as they have drawn up a detailed research proposal in conjunction with their supervisors which may have to be refined until it meets with the full approval of a Faculty

Higher Degrees Committee. What is being asked for at this stage is a motivation that will be read by the Dean and should be able to convince him or her that you really know *what* you want to study and that you have a clear idea of the *approach* you wish to adopt and *why* you want to study at Rhodes University. However, if you have already drawn up a more comprehensive research proposal, please attach that instead. You should also mention whether your proposed research is to follow on from previous research that you have conducted.

24. Declaration by student

I understand the implications of the questions on this form and declare that the information I have supplied is correct. I agree to abide by the principles and rules contained in the Higher Degrees Guide.

.....
Signature

.....
Date

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Signature
Head of Department

.....
Date

FOR OFFICE USE ONLY

25. STATEMENT BY THE DEAN OF THE FACULTY

I APPROVE/DO NOT APPROVE the acceptance of this candidate subject to confirmation by the Board of the Faculty/Senate and the following conditions:

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Signature

.....
Date

(September 2008)

APPENDIX C

RHODES UNIVERSITY

APPLICATIONS FOR MASTER'S AND DOCTORAL RESEARCH DEGREES

SUPERVISOR'S FORM

Please read this form carefully, complete it accurately, and attach any further explanatory documents to it.

This form must be submitted to the Academic Administration Office (Registrar's Division).

An electronic copy of this form may be downloaded from the following sites:

<http://www.ru.ac.za/applying/postgraduates/mastersanddoctors/mastersanddoctorsforms>
or <http://www.scifac.ru.ac.za/forms.htm>

This form is to be completed by the prospective supervisor of a student who wishes to enrol for a Master's or PhD degree by full Research Thesis. The Dean of the Faculty will use the information on this form and on a similar one completed by the student to decide whether to approve or reject the application, or whether it should be referred back for further clarification.

This form should not be shown to the student. It might appear that this form should be submitted only if a positive recommendation is to be made to the Dean after all negotiation with the student and supervisor is completed. However, students who are turned down need to have this communicated to them, and it is fitting to be able to supply the reasons. Furthermore, a student turned down by one Department might be acceptable to another one.

-
1. Applicant's surname (CAPITALS)
 2. Title First Names
 3. Rhodes University student number if known
 4. Department in which it is proposed the student be registered.....
Degree (MA, MCom, MSc, MFA, MMus, MSocSci, PhD).....

5. Proposed area of research (in a few words, for example, English Literature, Cosmology, Financial Management).....

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6. Provisional topic (in a sentence, for example, "War poets of the 20th Century)

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7. Prospective supervisor's name (CAPITALS).....

8. Please indicate the details of the students you are currently supervising.

Student name Number Degree Date commenced Est. completion date

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9. Do you have sufficient:

• time to devote to this student?

• interest in the project?.....

• expertise in the proposed field of research?

• sources of funding for running expenses?.....

• if necessary, sources of funding for the student's living expenses?.....

.....

If the answer to any of these questions is negative, please expand briefly and, where possible, suggest action that could be taken to ameliorate the situation.

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10. **(Applicable only to certain disciplines)**

(a) Do you have sufficient laboratory/office space to house the student in your group?

(b) Will this project require specialised equipment or facilities and does the Department have these facilities? Give details and provide information about funding, or provision which has been made to supply missing facilities.

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11. Does this project require the appointment of a co-supervisor?

If Yes, explain why this is necessary, bearing in mind that co-supervision can become awkward?

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12. Name of co-supervisor (if applicable) and address/affiliation.

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13. Do you foresee periods of leave in the near future, retirement, or frequent absences for other reasons becoming a factor to be considered in accepting this student? Explain briefly

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14. Have you read the student's application to undertake research?

15. If you have reservations about any aspect of the student's application, please indicate

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16. **(Applicable only to *ad eundum gradum* students)**

Some students can only be accepted for *ad eundum gradum* registration, because they do not have the formal minimum requirements to be accepted as research students (an Honours degree or equivalent). Such applications require the approval of Senate. If this student falls into this category, please provide a brief motivation in a few sentences that can be considered by Senate (typically this should state previous experience, publication record and so on).

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17. Are you satisfied with the student's proposed research plan as attached to the applicant's form? If not, provide further details. The description of the project must convince the Dean that some initial planning has taken place and that the project will not be developed *ab initio* after the student arrives.

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.....

18. **Summary statement by prospective supervisor**

I declare that the information on this form is correct. I have read and agree to abide by the principles and rules of the Higher Degrees Guide. I recommend that the student's application be: **(tick one)**

accepted

rejected (give brief reasons).....
.....
.....

referred back (explain).....
.....
.....

referred back to another supervisor (suggest one).....
.....
.....

referred back to another Department (suggest one).....
.....
.....

.....
Supervisor's Signature

.....
Date

FOR OFFICE USE ONLY

19. Statement by Head of Department (in cases where HOD is not the proposed supervisor)

I have read the independent applications of both student and prospective supervisor and I recommend that the student's application be **(tick one)**

accepted unconditionally

accepted subject to further conditions (please stipulate)

.....
.....
.....

referred back to the student or supervisor for further discussion relating to the following (please explain)

.....
.....
.....

rejected (please give brief reasons).....

.....
.....
.....

(When acceptance is recommended) I recommend that the following be appointed to act as supervisor or supervisors:

.....
.....

HOD Signature: **Date:**

20. **STATEMENT BY THE DEAN OF THE FACULTY (In cases where the Dean is not the HOD)**

I APPROVE/DO NOT APPROVE the acceptance of this candidate, subject to confirmation by the Board of the Faculty/Senate, and the following conditions:

.....
.....
.....

Supervisor Co-supervisor

.....
Dean's Signature

.....
Date

(September 2008)

APPENDIX D

RHODES UNIVERSITY

ANNUAL PROGRESS REPORT: POSTGRADUATE STUDENT

The online form can be found at the following link:

<http://www.scifac.ru.ac.za/student.cgi>

(September 2008)

RHODES UNIVERSITY

ANNUAL PROGRESS REPORT : SUPERVISOR

The online form can be found at the following link:

<http://www.scifac.ru.ac.za/supervisor.cgi>

(September 2008)

APPENDIX E

Examples of title pages.

**PROGESTIN RECEPTOR HETEROGENEITY IN A BREAST CANCER
CELL LINE**

A thesis submitted in fulfilment of the
requirements for the degree of

DOCTOR OF PHILOSOPHY

of

RHODES UNIVERSITY

by

ANITA LVEY

December 2000

**AN ANALYSIS OF THE APPLICATION OF *TOTAL QUALITY*
MANAGEMENT PRINCIPLES IN SCHOOLS**

A thesis submitted in fulfilment of the
requirements for the degree of

MASTERS IN EDUCATION

of

RHODES UNIVERSITY

by

DAVID WALTERS

January 1996

APPENDIX F

GUIDELINES FOR EXAMINERS OF MASTER'S DEGREES

The following requirements for the degree of Master are quoted for the information of examiners:

1. **RULE G.50 OF THE RHODES UNIVERSITY CALENDAR**

Subject to the provisions of Rule G.49 candidates shall not be admitted to the degree of Master in the Faculty of Humanities (except the degree of Master of Music and Master of Fine Art), or of Science, or of Commerce, until at least two years after admission to the degree of Bachelor or one year after admission to the degree of Bachelor with Honours in such Faculty, or, in the case of the degrees of Master of Education by thesis, Master of Fine Art, Master of Laws and Master of Music, until at least one year after admission to the degree of Bachelor. Special entry criteria for the degree of Master of Education by coursework and thesis are listed in the Faculty of Education Rules. Except with the permission of Senate a candidate for the degree of Master of Education by coursework and thesis will be allowed a maximum of three years' registration in which to fulfil all requirements for the degree.

NB. Rule 50.5 of the Rhodes University Calendar states that a candidate who has obtained the BPharm degree may not present their thesis for a Master's degree until at least 18 months after the date of registration for the MSc or MPharm degree.

2. **REGULATIONS**

G.53 The Faculty shall appoint a supervisor, or supervisors, to advise a candidate. At least one of the supervisors so appointed must be a member of staff. For the purposes of this Rule, members of associated institutions who are also members of a Faculty of the University are regarded as members of staff.

G.60 Degree may be awarded with distinction.

3. **GUIDELINES FOR CANDIDATES**

These Guidelines are additional to the Rules governing the degree of Master as laid down in Rhodes University Calendar.

A thesis for the degree of Master must show that the candidate:

- (a) Is sufficiently acquainted with the appropriate methods and techniques of research.
- (b) Is sufficiently acquainted with the relevant literature.
- (c) Has both satisfactorily understood the nature of the problem or topic and assessed the significance of the findings.

- (d) Has satisfactorily presented the results of independent research for the award of the degree in a manner which is satisfactory as to literary style and presentation, and free from grammatical and typographical errors.

Except in exceptional circumstances approved by Senate, the upper limit for Master's degrees and the Master of Education degree by research is 50 000 words of text (approximately 150 A4 pages of double-spaced typing excluding footnotes, illustrative material and appendices). The length of a thesis in the Master's degree by coursework, should normally not exceed 30 000 words, but should not under any circumstances exceed 50 000 words (respectively 100 to 150 pages of double-spaced typing, excluding footnotes, illustrative material and appendices). Master of Education thesis in a coursework degree should not under any circumstances exceed 30 000 words.

4. EXAMINERS

In the Faculties of Humanities and Education (when a research thesis is being examined) there shall be two external examiners and one internal examiner, and in all other faculties there shall be at least two external examiners.

The University recognizes 50% as the minimum pass mark

5. REPORTS

- (a) The examiners appointed are each required to complete Form E.13 independently and write a report on the thesis. The report should clearly state, whether, in the view of the examiner, the thesis / mini-thesis / dissertation:
- (i) should be accepted in its present form;
 - (ii) should be accepted in its present form with minor changes, usually of a stylistic, linguistic or bibliographic nature which are clearly documented by the examiner, and are to be implemented at the discretion of the supervisor;
 - (iii) should not be rejected but referred back to the candidate for revision and reworking before resubmission; or
 - (iv) should be rejected.

The E.13 form and report are to be returned directly to the Academic Administration Office as soon as possible.

- (b) On receipt of all the examiner's reports, the Academic Administration Office will transmit the relevant documentation to the Head of Department, who will collate all the reports and return them with his/her recommendation to the Academic Administration office. In the event of a

significant disagreement between the reports, the Dean will in the first instance attempt to gain consensus by giving each examiner sight of the other examiner's report. Should no consensus be reached, the Dean shall, on the recommendation of the Head of Department, appoint an arbiter who shall be given sight of the thesis, the initial examiners' reports, any further correspondence from the examiners, and the Head of Department's collation and recommendation. Upon receipt of the arbiter's report, the Dean will make a decision on behalf of Faculty.

Suggested guidelines for mark allocation to be used at the discretion of the examiner in respect of degree by coursework and thesis.

% mark	These guidelines may be used in all areas of consideration
86-100	This candidate's work is in the top 10% of all Master's theses / mini-theses / dissertations that I have encountered, and is publishable in its present form
75-85	This candidate has met all the criteria extremely effectively and shows remarkable potential. There are large sections of the work that are publishable. This is a distinction candidate.
65-74	This is a highly competent effort. This candidate has a solid understanding of all that is required of him/her in the area under consideration.
55-64	This candidate has met the criteria, but has not progressed much beyond that position.
50-54	This is borderline work.
40-49	This thesis / mini-thesis / dissertation requires extensive reworking.
30-39	This candidate has misconstrued the requirements completely, but has made an effort.
Less than 30%	- this thesis / mini-thesis / dissertation is completely below standard.

While not binding, the weighting of marks reflected in the table below may be useful for structuring the evaluation of the thesis / dissertation / mini thesis. This may assist the examiner in justifying the mark allocated for the work.

Areas of consideration	Weighting	Mark given
Contextualisation, problem definition, planning	10	
Methodological considerations and procedures	10	
Knowledge of the field, the discipline and subject being	20	

researched (literature study)		
Ability to develop and sustain an argument; strategic follow-through; focus etc	30	
Validity and formulation of conclusions	15	
Style and presentation	15	
<i>Total:</i>	100	

6 CONFIDENTIALITY

From the outset examiners are asked:

- (a) Whether they are prepared to be identified to a successful candidate.
- (b) To indicate which section(s) of their report, if any, may be revealed to the candidate. Normally information permitted to be disclosed will be communicated to the candidate, but with the approval of the Dean. The Heads of Departments may, at their discretion, withhold part of the information sanctioned by the examiners.

7 AWARD OF THE DEGREE WITH DISTINCTION

- (a) *Specified criteria for the award of a distinction:*

The University reserves the award of a distinction for work of outstanding merit, while recognizing that the Master's degree represents not more than one or two years' full-time research, and is in many instances, the first research experience of a candidate. Examiners are asked to look for evidence of real methodological and conceptual skills, clarity in exposition and development of argument, sound judgement, originality of approach and some contribution to knowledge, but not necessarily to expect total coverage of a major problem or a substantial breakthrough in a new area. The thesis must also reflect literary skills appropriate to the subject.

- (b) *Award of a distinction for degree by thesis only:*

If all examiners agree that the degree be awarded with distinction, the Head of Department shall normally recommend accordingly. If after consultation, referred to in 5(b) above, one examiner should still remain opposed to a distinction, the Head of Department may, after consultation with the Dean, recommend the award of the degree with distinction. The Dean may accept such recommendation or may refer the issue to an arbiter.

(September 2008)

APPENDIX G

INTERNAL AND EXTERNAL EXAMINER'S REPORT

MASTER'S DEGREE (by HALF THESIS/RESEARCH PROJECTS)

Candidate:

HALF THESIS	RESEARCH PROJECT(S)
-------------	---------------------

Examiners are required to complete and sign this form and return it, together with a more detailed report, to the Academic Administration Office (Registrar's Division). The examiner should report on the main features of the research product, merits and weaknesses, and draw attention to any particular areas of interest or importance.

While length is not itself a criterion, examiners may find it useful to think of a half thesis as a small-scale study of about 20 - 30 000 words, and "projects" as (at least) 3 items totalling about 20 - 30 000 words, excluding appendices and reference lists. (By contrast, a Master's degree by full thesis would probably involve a substantive study of about 40 - 50 000 words.)

When the award of the degree with distinction is under consideration, examiners are asked to look for evidence of exceptional methodological and conceptual skills, clarity of exposition and argument, sound judgement, originality of approach, and some contribution to knowledge.

The following criteria may prove useful in assessing the research product. In situations where multiple small projects are assessed it is unlikely that all of these criteria will apply to each individually, but they would apply to the product as a whole. The projects therefore need to be assessed globally, rather than individually. Candidates should produce a rationale providing links among projects.

CRITERIA	YES	NO	N/A
1. Has the candidate adequately identified and described the research problem/question and goal within a clearly identified field?			
2. Is the candidate sufficiently acquainted with the relevant literature?			
3. Is the candidate sufficiently skilled at using appropriate research methods and techniques, as revealed in the analysis and interpretation of data and findings?			
4. Has the candidate presented the material in a logical, clear and systematic way?			
5. Has the candidate presented the material in a linguistically and			

stylistically accepted way?			
6. Has the candidate provided evidence of critical reflection on the research process?			
7. (For research projects only) Is there evidence that learning has taken place through the research process? The rationale accompanying the projects should draw attention to this aspect.			
8. Do you recommend the candidate be awarded the degree?			
CRITERIA	YES	NO	N/A
9. In the event of your recommending the candidate be awarded the degree do you recommend:			
• No corrections			
• Editorial corrections			
• Revisions (improvements)			
• Extensions (additions)			
If any of these are required, should they be to the satisfaction of the (choose one):			
• The supervisor			
• The Head of Department			
• The external examiner			
• The internal examiner			
10. Do you recommend a distinction?			
11. In the event of your not awarding a distinction, would you object if, in light of other examiners' reports, a distinction is awarded?			
12. Are you prepared to be identified to the candidate if the degree is awarded?			
13. Are you prepared to allow the candidate to read your report in			

<p>whole or part? (Please be aware that it is normally the practice for examiner's reports, and the identity of the examiner, to be made known to the candidate at the end of the examination process. If an external examiner, or the Dean, has reason for not complying with this practice, this must specifically be requested of the Vice-Chancellor to act on behalf of Senate.)</p>			
<p>14. (For reports only) Please indicate a percentage.</p>			
<p>15. Please provide any additional comments.</p>			

SIGNATURE: _____ DATE: _____

NAME: (in block capitals) _____

(September 2008)

EXTERNAL EXAMINER'S REPORT FORM

MASTER'S DEGREE (by FULL THESIS)

REPORT BY _____ ON THE THESIS PRESENTED BY

THE CANDIDATE _____

FOR THE DEGREE OF MASTER OF _____

Each examiner is required to complete and sign this form and to return it, together with a more detailed report, to the Academic Administration Office.

It should be stressed that Rhodes University regards such detailed reports as crucial to the examination process, and it is normal (but not obligatory) practice to supply them to students as good examples of "peer review", from which they can learn and draw benefit as they embark on their research careers. Although it is common that these reports draw attention to typographical errors and other editorial blemishes, examiners are urged not to confine themselves to simply listing these, but should report on the main features of the thesis, its merits and weaknesses, and draw attention to any aspects of particular interest or importance (suggestions of how the thesis or parts of it could be revised in article form for a reputable journal would be welcome). While no stipulation can be made as regards the length of the report, it is suggested that it might run to between three and five pages.

CRITERIA

1. Has the candidate adequately identified and described the research problem/question and goal?

2. Does the thesis show that the candidate is sufficiently acquainted with the appropriate methods and techniques of research for the award of the degree?

3. Does the thesis show that the candidate has sufficient acquaintance with the current and other relevant literature? (Bibliography)

4. Does the thesis show that the candidate has both satisfactorily understood the nature of the problem or topic and assessed the significance of the findings?

5. Has the thesis satisfactorily presented the results of independent research for the

award of the degree in a manner which is satisfactory as to literary style and presentation?

RECOMMENDATION

1. Do you recommend that: *Please choose ONE only*

1.1 the candidate be awarded the degree and that no corrections need be made to the thesis

OR

1.2 the candidate be awarded the degree, but minor corrections (e.g. spelling, typing, references) should be made to the satisfaction of the supervisor and/or Head of Department

OR

1.3 the candidate should be awarded the degree after identified changes have been made to the satisfaction of the supervisor and/or Head of Department

OR

1.4 although the thesis does not meet the required standard, the candidate should be invited to do further work if necessary, revise and resubmit the thesis for re-examination by the examiners

OR

1.5 the candidate should submit to an oral or written examination on the subject of his or her thesis and/or on the whole field of study which it covers

OR

1.6 the degree should not be awarded to the candidate

2. Do you recommend that the degree be awarded with/without distinction?

When the award of the degree with distinction is under consideration, examiners are

asked to look for evidence of real methodological and conceptual skills, clarity of exposition and development of argument, sound judgement, originality of approach, and some contribution to knowledge, and require that the thesis should reflect literary skills appropriate to the subject.

3. In the event of your not recommending that the degree be awarded with a distinction, would you object if, in light of other examiners' reports, a distinction is awarded?
-

Are you prepared to be identified to the candidate, if the degree is awarded and are you prepared to allow the candidate to read your report in whole or part?

(Please be aware that it is normally the practice for examiner's reports, and the identity of the examiner, to be made known to the candidate at the end of the examination process. If an external examiner, or the Dean, has reason for not complying with this practice, this must specifically be requested of the Vice-Chancellor to act on behalf of Senate.)

DATE: _____ SIGNATURE: _____

NAME (BLOCK CAPITALS): _____

(September 2008)

GUIDELINES FOR EXAMINERS FOR THE DEGREE OF DOCTOR OF PHILOSOPHY (OTHER THAN SCIENCE – APPENDIX I)

The following requirements for the degree of Doctor of Philosophy are quoted for the information of Examiners:

1. RULES

G.62

Subject to the provisions of Rule G.49, a candidate shall not be admitted to the degree of Doctor of Philosophy until at least three years after admission to the degree or status of Bachelor with Honours (in any Faculty), or of Bachelor of Laws, or of Bachelor of Education, or of Bachelor of Music, or until at least two years after admission to the degree of Master.

G.63

Candidates for the degree of Doctor of Philosophy in any Faculty shall be registered for and attend an approved course of special study or research at the University for the period prescribed in Rule 62; provided that the Senate may exempt candidates from such attendance or part thereof, and may instead require them to perform such work as it may prescribe during that period.

G.65

The Senate shall appoint a supervisor or supervisors to advise a candidate. At least one of the supervisors so appointed must be a member of staff. For the purposes of the Rule, members of associated institutes who are also members of a Faculty of the University are regarded as members of staff.

65.1 The candidate shall work in such association with the supervisor as the Senate may direct.

G.66

Candidates shall submit a thesis on the results of their study which shows evidence of originality and independent research.

G.70

Candidates shall submit a declaration, satisfactory to the Senate, stating to what extent the thesis is their original work, and certifying that it has not been submitted for a degree at any other university.

(Note: the declaration is to be sent to the external examiners with the thesis.)

G.72

Candidates may be required by the Senate, if the examiners so recommend, to submit to a written or oral examination on the subject of their thesis and on the whole field of study which it covers.

G.73

An application to re-submit a thesis which has been rejected shall not be entertained, but the Senate may, on the advice of the examiners, invite a candidate to re-submit a thesis in a revised or extended form.

2. GUIDELINES FOR CANDIDATES

These Guidelines are additional to the Rules governing the degree of Doctor of Philosophy as laid down in the University Calendar.

A thesis for the degree of Doctor of Philosophy must show that the candidate:

- 2.1 is sufficiently acquainted with the appropriate methods of research;
- 2.2 is sufficiently acquainted with the relevant literature;
- 2.3 has satisfactorily presented the results of independent research for the award of the degree;
- 2.4 has made a substantial and original contribution to knowledge in the discipline, the substance of which is worthy of publication in a scholarly journal or book.

In addition, such thesis must be satisfactory as to literary style and presentation.

3. REPORTS

- (a) The external examiners are each required *independently* to complete Form E.18, and to write a report on the thesis, and to send the form, report and the candidate's declaration direct to the Registrar as soon as possible.
- (b) The supervisors may, if they so wish or at the request of the external examiner, render a *factual report* to the external examiners, containing any facts about the preparation of the thesis which is deemed advisable to communicate to the external examiners. This should be returned by the external examiner together with the examiner's report to the Registrar.
- (c) On receipt of the examiners' reports, the Faculty Officer shall collate the forms and reports to the relevant Dean, who will consult the Committee of Assessors who are required to make a recommendation. The Dean will make a recommendation directly to the Vice-Chancellor for action on behalf of Senate. If the examiners agree that a revision and re-submission is required, the Dean may so recommend without consulting Faculty.

4. CONFIDENTIALITY

From the outset external examiners should be asked:

- (1) whether or not they are prepared to be identified to a successful candidate for the degree of Doctor of Philosophy; and/or

- (2) to indicate which sections(s) of their reports, if any, may be revealed to a candidate.

Normally information permitted to be disclosed will be communicated to the candidate, but, at the discretion of the Dean, the Dean may withhold part of the information sanctioned by the examiners.

5. THESES REFERRED BACK FOR REVISION AND RE-EXAMINATION

If any examiner insists that the thesis be referred back to the candidate for correction as a condition for the award of the degree, the examiner shall be required to indicate clearly, to the satisfaction of the Dean, what has to be done by the candidate; and in the case of major revision, or correction, or extension, the examiners may be required to re-examine the thesis once this has been done.

(September 2008)

APPENDIX I

E.16 (SCIENCES)

GUIDELINES FOR EXAMINERS FOR THE DEGREE OF DOCTOR OF PHILOSOPHY

The following requirements for the degree of Doctor of Philosophy are quoted for the information of Examiners:

1. RULES

G.62

Subject to the provisions of Rule G.49, a candidate shall not be admitted to the degree of Doctor of Philosophy until at least three years after admission to the degree or status of Bachelor with Honours (in any Faculty), or of Bachelor of Laws, or of Bachelor of Education, or of Bachelor of Music, or until at least two years after admission to the degree of Master.

G.63

Candidates for the degree of Doctor of Philosophy in any Faculty shall be registered for and attend an approved course of special study or research at the University for the period prescribed in Rule 62; provided that the Senate may exempt candidates from such attendance or part thereof, and may instead require them to perform such work as it may prescribe during that period.

G.65

The Senate shall appoint a supervisor or supervisors to advise a candidate. At least one of the supervisors so appointed must be a member of staff. For the purposes of the Rule, members of associated institutes who are also members of a Faculty of the University are regarded as members of staff.

65.1 The candidate shall work in such association with the supervisor as the Senate may direct.

G.66

Candidates shall submit a thesis on the results of their study which shows evidence of originality and independent research.

G.70

Candidates shall submit a declaration, satisfactory to the Senate, stating to what extent the thesis is their original work, and certifying that it has not been submitted for a degree at any other university.

(Note: the declaration is to be sent to the external examiners with the thesis.)

G.72

Candidates may be required by the Senate, if the examiners so recommend, to submit to a written or oral examination on the subject of their thesis and on the whole field of study which it covers.

G.73

An application to re-submit a thesis which has been rejected shall not be entertained, but the Senate may, on the advice of the examiners, invite a candidate to re-submit a thesis in a revised or extended form.

2. GUIDELINES FOR CANDIDATES

These Guidelines are additional to the Rules governing the degree of Doctor of Philosophy as laid down in the University Calendar.

The degree of Doctor of Philosophy is obtained by means of research work and subsequent presentation of a thesis. The thesis must show that the candidate:

- 2.1 understands the purpose of the investigation;
- 2.2 has read and understood the relevant literature;
- 2.3 has developed (or adapted) and used the appropriate methods and techniques;
- 2.4 as a result of independent research, has made a substantial and original contribution, the substance of which, in the opinion of the examiners, is worthy of publication in an internationally accepted, refereed, scientific journal.

The results obtained must be presented in a well-written, coherent and concise thesis.

3. REPORTS

- (a) The external examiners are each required *independently* to complete Form E.18, and to write a report on the thesis, and to send the form, report and the candidate's declaration direct to the Registrar as soon as possible.
- (b) The supervisors may, if they so wish or at the request of the external examiner, render a *factual report* to the external examiners, containing any facts about the preparation of the thesis which is deemed advisable to communicate to the external examiners. This should be returned by the external examiner together with the examiner's report to the Registrar.
- (c) On receipt of the examiners' reports, the Faculty Officer shall collate the forms and reports to the relevant Dean, who will consult the Committee of Assessors who are required to make a recommendation. The Dean will make a recommendation directly to the Vice-Chancellor for action on behalf of Senate. If the examiners agree that a revision and re-submission is required, the Dean may so recommend without consulting Faculty.

4. CONFIDENTIALITY

From the outset external examiners should be asked:

- (1) whether or not they are prepared to be identified to a successful candidate for the degree of Doctor of Philosophy; and/or
- (2) to indicate which sections(s) of their reports, if any, may be revealed to a candidate.

Normally information permitted to be disclosed will be communicated to the candidate, but, at the discretion of the Dean, the Dean may withhold part of the information sanctioned by the examiners.

5. THESES REFERRED BACK FOR REVISION AND RE-EXAMINATION

If any examiner insists that the thesis be referred back to the candidate for correction as a condition for the award of the degree, the examiner shall be required to indicate clearly, to the satisfaction of the Dean, what has to be done by the candidate; and in the case of major revision, or correction, or extension, the examiners may be required to re-examine the thesis once this has been done.

(September 2008)

APPENDIX J



EXTERNAL EXAMINER'S REPORT FORM

DEGREE OF DOCTOR OF PHILOSOPHY

REPORT BY _____ ON THE THESIS PRESENTED BY

THE CANDIDATE _____

FOR THE DEGREE OF DOCTOR OF PHILOSOPHY

Each examiner is required to complete and sign this form and to return it, together with a more detailed report, to the Academic Administration Office.

It should be stressed that Rhodes University regards such detailed reports as crucial to the examination process, and it is normal (but not obligatory) practice to supply them to students as good examples of "peer review", from which they can learn and draw benefit as they embark on their research careers. Although it is common that these reports draw attention to typographical errors and other editorial blemishes, examiners are urged not to confine themselves to simply listing these, but should report on the main features of the thesis, its merits and weaknesses, and draw attention to any aspects of particular interest or importance (suggestions of how the thesis or parts of it could be revised in article form for a reputable journal would be welcome). While no stipulation can be made as regards the length of the report, it is suggested that it might run to between three and five pages.

CRITERIA

1. Has the candidate adequately identified and described the research problem/question and goal?

2. Does the thesis show that the candidate is sufficiently acquainted with the appropriate methods and techniques of research for the award of the degree?

3. Does the thesis show that the candidate has sufficient acquaintance with the current and other relevant literature? (Bibliography)

-
4. Is the thesis satisfactory as regards literary presentation? (Systematic, documented, etc)
-
5. Does it constitute an original contribution?
 6. Is the substance of the thesis worthy of publication?
-

RECOMMENDATION

1. Do you recommend that: *Please choose ONE only*
 - 1.1 the candidate be awarded the degree and that no corrections need be made to the thesis

OR

 - 1.2 the candidate be awarded the degree, but minor corrections (e.g. spelling, typing, references) should be made to the satisfaction of the supervisor and/or Head of Department
- OR
- 1.3 the candidate should be awarded the degree after identified changes have been made to the satisfaction of the supervisor and/or Head of Department
- OR
- 1.4 although the thesis does not meet the required standard, the candidate should be invited to do further work if necessary, revise and resubmit the thesis for re-examination by the examiners
- OR
- 1.5 the candidate should submit to an oral or written examination on the subject of his or her thesis and/or on the whole field of study which it covers
- OR
- 1.6 the degree should not be awarded to the candidate
-

Are you prepared to be identified to the candidate, if the degree is awarded and are you prepared to allow the candidate to read your report in whole or part?

(Please be aware that it is normally the practice for examiner's reports, and the identity of the examiner, to be made known to the candidate at the end of the examination process. If an external examiner, or the Dean, has reason for not complying with this practice, this must specifically be requested of the Vice-Chancellor to act on behalf of Senate.)

DATE: _____ SIGNATURE: _____

NAME (BLOCK CAPITALS): _____

(September 2008)

APPENDIX K

RHODES UNIVERSITY

COMMON FACULTY POLICY AND PROCEDURES ON PLAGIARISM

Policies and Procedures for dealing with cases of plagiarism at the postgraduate level

General

Postgraduate work can occur in the form of course work or by way of research tasks (from long papers through to full theses). As far as course work is concerned, the policies and procedures are similar to those that apply to undergraduates, the only difference being the degree of seriousness at a higher NQF level of study. Specific guidelines for the practice at each level are given below. As far as research is concerned, supervisors of postgraduate research work are expected to follow the university policy on postgraduate supervisory practice and the guidelines contained in the Higher Degrees Guide, especially insofar as these refer to reviewing drafts of students' work, identifying potential plagiarism, and encouraging students to acquaint themselves with best practice and the use of text-matching software and databases.

Procedures applicable before the stage of submission for assessment

Preventative and remedial action should be taken on any draft work (either course work or research work) presented by students before the stage of submission, particularly if the student has some legitimate educational problem with writing and referencing. However, if the supervisor detects plagiarism once it gets to the stage where a final draft is submitted, or at the stage where the student wishes to submit the work for examination, this matter should be referred to the relevant plagiarism committee prior to the thesis going out for examination, so that the matter may be dealt with internally. The normal procedures applicable to category B and C discussed in section D above will apply.

Procedures applicable after the stage of submission for assessment

Postgraduate Diploma Students

Such students should be treated in the same way as Honours students (see immediately below).

Honours Students

Honours students should be treated according to the principles set out below:

Course work

Plagiarism in Honours course-work and assignments should not ordinarily be treated as a category C offence, unless the student is a repeat offender.

Research papers

In cases where potential plagiarism is identified by an internal or an external examiner, that examiner should be requested to provide a thorough report indicating the nature and extent of potential plagiarism, and to indicate the sources from which plagiarism has occurred. Wherever possible, the matter should be dealt with internally first.

Allegations of plagiarism in an Honours-level research paper should not automatically be treated as a category C offence. It will be up to the Head of Department and the Departmental Plagiarism Committee to assess the seriousness of the case. Only very serious infractions would merit referral to the Chair of the Senate Standing Committee for adjudication.

Coursework Master's

Coursework Master's students should be treated according to the principles listed below.

Course work

Plagiarism in Master's course work and assignments would not ordinarily be treated as a category C offence, unless the student is a repeat offender.

Research papers, mini-theses, mini-dissertations

In cases where potential plagiarism is identified by an internal or an external examiner, that examiner should be requested to provide a thorough report indicating the nature and extent of potential plagiarism, and to indicate the sources from which plagiarism has occurred. Where possible, the matter should be dealt with internally first.

Allegations of plagiarism in a coursework Master's research paper/mini-thesis/mini-dissertation should normally be treated as a category C offence, and should be referred by the Head of Department to the Chair of the Senate Standing Committee on Plagiarism for adjudication. Where the Head of Department is directly involved as a supervisor/examiner, the Dean of the Faculty, or a senior member of the Department nominated by the Dean, should perform this task.

Master's by Thesis

In accordance with the rules on the examination of Master's theses, the following

procedure should be adopted:

The Head of Department, whose task it is to collate the examiners' reports and to make an initial recommendation, should refer the allegation of plagiarism to the relevant Dean of the Faculty for his or her consideration. Where the Head of Department or the Dean is directly involved as a supervisor/examiner, the Deputy Dean, or a senior member of the Faculty nominated by the Dean, should perform this task.

The Dean, after considering the reports, must refer the matter to the Chair of the Senate Standing Committee on Plagiarism, who must constitute a Senate Plagiarism Tribunal to adjudicate the matter. The student must be informed of the allegation against him or her, and must be afforded all the rights to which a student is normally entitled with regard to the adjudication of the issue (for procedures, see section D above). The external examiner(s) must be requested to provide a thorough report indicating the nature and extent of potential plagiarism, and to indicate the sources from which plagiarism has allegedly occurred, if this did not occur in the original report.

If the Senate Plagiarism Tribunal finds that there is no case of plagiarism, the matter must then be referred back to the Head of Department (or appropriate nominee) for that person to make an academic recommendation on the result of the thesis, in the light of any and other examiners' reports. The Dean of the Faculty and the Faculty Board should then follow the ordinary procedures with regard to deciding the final academic result.

If the Senate Plagiarism Tribunal finds that the student has committed plagiarism, the Tribunal is required to indicate (a) the seriousness of the extent of the plagiarism; and (b) to make recommendations with regard to the academic result. (For serious cases, the Tribunal could, for example, recommend outright failure, but if the plagiarism was minor, corrections could be recommended.) These findings and recommendations should be referred back to the Head of Department (or appropriate nominee) for that person to make an academic recommendation on the result of the examination. This recommendation must be referred to the Dean of the Faculty. The recommendations of the Tribunal must accompany the Head of Department's findings. The Dean of the Faculty and the Faculty Board should then follow the ordinary procedures with regard to deciding the final academic result.

In addition, the Senate Plagiarism Tribunal retains its disciplinary powers to impose a sanction in the form of an exclusion of some kind, if such is warranted.

Doctoral Students

In accordance with the rules on the examination of PhD theses, the following procedure should be adopted:

Upon receipt of the examiners' reports from the Registrar, the relevant Dean or Dean's

nominee must call a meeting of the candidate's Committee of Assessors (COA) to consider the allegation.

If the view of the COA is that the allegation of plagiarism requires investigation, the matter must be referred immediately to the Chair of the Senate Standing Committee on Plagiarism who must constitute a Senate Plagiarism Tribunal to adjudicate the matter. The student must be informed of the allegation against him or her, and must be afforded all the rights to which a student is normally entitled with regard to the conduct of the hearing (for procedures, see section D above). The external examiner(s) must be requested to provide a thorough report indicating the nature and extent of potential plagiarism, and to indicate the sources from which plagiarism has allegedly occurred, if this did not occur in the original report.

If the Senate Plagiarism Tribunal finds that there is no case of plagiarism, the matter must then be referred back to the COA for that committee to make an academic recommendation on the result of the thesis, in the light of any and other examiners' reports. The decision should be communicated to the Registrar and the Vice-Chancellor, who should then follow the ordinary procedures with regard to deciding the final academic result.

If the Senate Plagiarism Tribunal finds that the student has committed plagiarism, the Committee is required to indicate (a) the seriousness of the extent of the plagiarism; and (b) to make recommendations with regard to the academic result. Generally speaking, in a PhD thesis plagiarism of any kind would usually attract severe censure. These findings and recommendations should be referred back to the COA for that committee to make an academic recommendation on the result of the examination. This recommendation must be referred to the Registrar for the attention of the Vice-Chancellor. The recommendations of the Tribunal must accompany the COA's decision. The Vice-Chancellor and Senate should then follow the ordinary procedures with regard to deciding the final academic result.

In addition, the Senate Plagiarism Tribunal retains its disciplinary powers to impose a sanction in the form of an exclusion of some kind, if such is warranted.

Revocation or deprivation of degrees that have already been awarded

From time-to-time it may become apparent, after a research degree by thesis has been conferred, that the thesis is plagiarised to a greater or lesser degree. In such situations, it may be necessary to consider revoking the degree. This is a drastic and unusual step, requiring careful consideration and clear procedures.

In a situation where an allegation of plagiarism is made against a thesis after the degree has been conferred, this allegation must be put before a special meeting of the Higher Degrees Committee of the relevant Faculty by the relevant Dean. If, after considering the matter, the Higher Degrees Committee feels that there is a *prima facie* case of plagiarism,

the matter must be referred to the Chair of the Senate Standing Committee on Plagiarism. The Chair of the Senate Standing Committee on Plagiarism must convene a Plagiarism Tribunal that is specifically constituted and empowered to conduct a hearing into the matter.

This Tribunal in this situation should comprise: the Chairperson of the Senate Standing Committee on Plagiarism (Chair); three members of Senate (one of whom should be the Dean or Deputy Dean of Law); and one member of Council. The Chair must appoint the panel and establish a time for the hearing.

A graduate charged with the offence must be given full written particulars of the allegation against him or her. The evidence should include the thesis (with the allegedly plagiarised passages suitably marked) and documentary evidence of the original source material (suitably marked). The hearing must take place as soon as is reasonably possible, bearing in mind that the graduate may be some distance away. For this reason, it may be necessary to negotiate the time of the hearing with the graduate. The graduate should be informed of the time and the place of the hearing in the written particulars.

The graduate charged with having committed plagiarism, as well as the Head of Department concerned must be invited to attend the hearing. The graduate may be assisted by another student, or by a staff member or by a legal practitioner. If a legal practitioner acts for the graduate, this will be at the graduate's own expense. The graduate may, if he or she elects to do so, forfeit a personal appearance, and make written representations to the panel, which will constitute the graduate's evidence. This choice must be made expressly by the graduate. If this choice is made, the evidentiary steps below will not be necessary, and the matter may be dealt with on the papers.

The hearing must be conducted according to the requirements of natural justice. The Head of Department will present the evidence, and the graduate (or his or her representative), if he or she elects to appear in person, will have the right to question the department's representative about the alleged plagiarism. In addition, the Tribunal members will have the right to ask questions of the departmental representative.

The graduate (or his or her representative) will have the opportunity to make a statement or to present any evidence in support of his or her case. The Tribunal members will have the right to ask questions of the student or his or her representative.

The Tribunal will then consider its decision. The standard of proof is on a balance of probabilities. If the Tribunal finds that the graduate did not commit plagiarism of any kind, the matter should be referred back to the Higher Degrees Committee to make the appropriate recommendation to Senate and Council. If the Tribunal finds that the student has committed plagiarism, the graduate should be re-called, this fact should be communicated to the student, and the graduate (or his or her representative) should be given an opportunity to make a statement in mitigation of penalty. If necessary, the Tribunal may ask questions of the graduate or his or her representative at this stage (the response may be in writing, if necessary). The Tribunal should then consider the penalty to be imposed.

In a situation where the Tribunal finds that the thesis was tainted by plagiarism, the Tribunal is entitled to recommend the revocation of the degree, or any other appropriate penalty. Wherever possible, the graduate should (if present) immediately be re-called, and be informed of the penalty that he or she is to receive. However, since such offences may require serious consideration by the Tribunal, it may be appropriate to inform the graduate and his or her representative that the matter of penalty requires consideration, and that the graduate will be informed by the Chair in due course of the final outcome.

Once the hearing process is complete, the Tribunal must, in addition, provide the graduate with written reasons for its decision, both in regard to its finding and in regard to the penalty imposed. Such findings must be made available within five (5) days of the hearing.

If the Tribunal recommends revocation of the degree, this must be communicated to the Higher Degrees Committee of the relevant Faculty. This Committee must direct these findings to the University Senate and Council for consideration and approval. These bodies should consider the recommendations, and decide on the issue in accordance with the ordinary rules of order of these committees. A minute of the resolution must be compiled, and the reasons for the decision of Senate and Council must be made available to the graduate at the conclusion of these proceedings. The Registrar will be responsible for communicating this information to the student.

If Senate and Council approves of the deprivation of the degree, it will be necessary to recall the degree parchment from the student for destruction, and the Registrar must take the necessary steps to ensure that the degree is revoked administratively.

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