



UNIVERSITY OF CAPE TOWN

DOCTORAL DEGREES BOARD

GUIDELINES FOR PHD CANDIDATES AND SUPERVISORS

This document is a brief guide to what the University expects of a supervisor. It is not, nor could it be, comprehensive, but we hope it will be helpful to candidates and supervisors alike.

1. A prospective supervisor after, or in, consultation with the head of the department will usually:
 - (a) discuss with the prospective candidate the proposed field of study and research, which must be within the supervisor's expertise and, as far as possible, within the supervisor's area of research;
 - (b) make sure that the project is readily feasible, given the material, facilities and equipment that are likely to be available to the candidate;
 - (c) ensure that the candidate prepares a carefully written research proposal. (This is required of prospective candidates for application purposes, and should serve to show the candidate's ability to understand the problem and to guide the candidate at the start of the work). In, for example, theoretical sciences, the precise research proposal may need to emerge as work progresses, but the student must then show, or be helped to develop, an understanding of how to construct a research proposal.
 - (d) submit via the head of department and/or in faculties where this is the requirement, through the higher degrees committee, a proposal that the prospective candidate be registered: this proposal will include the proposed thesis title or field of work, and the research proposal.
2. **The responsibilities of the supervisor include:**
 - a) giving guidance about the nature of research and the standard expected, about the planning of the research programme, about literature and sources, attendance at taught classes, about requisite techniques (including arranging for instruction where necessary), and about the problem of plagiarism;
 - b) maintaining contact through regular tutorial and seminar meetings, in accordance with faculty/departmental policy and in the light of discussion of arrangements with the student;
 - c) being accessible to the student at appropriate times when he/she may need advice;
 - d) giving detailed advice on the necessary completion dates of successive stages of the work so that the whole may be submitted within a scheduled time;
 - e) requesting written work, as appropriate, and returning such work with constructive criticism, in reasonable time;
 - f) arranging, as appropriate, for the student to talk about his/her work to staff or graduate seminars, and to have practice in oral presentations;
 - g) ensuring that the student is made aware of inadequate progress or of standards of work below that generally expected;
 - h) ensuring that the candidate is (or becomes) familiar with, and observes, one of the internationally recognised guides to scholarly conventions on presentation, documentation of sources and the like. In particular, the candidate must:
 - adopt and use a standard and convention for citation and referencing;
 - attribute, cite and reference all significant contributions to, and quotations used in, the thesis;

- be aware of the consequences of any attempt to pass on work of others as his or her own, or other forms of plagiarism, namely an end to any prospect of scholarly career, a failure, and disciplinary measure.
- i) drawing the student's attention to the paragraph on problems that may arise from the use of word-processors, which is included in the letter sent to the student by the DDB when he/she is advised of acceptance as a candidate for the degree of PhD. The DDB recommends that the thesis should not exceed 80 000 words or 200 pages plus appendices and illustrations.
 - j) Although it is not in any way obligatory for a supervisor to keep a record of contacts with candidates concerning the thesis, a brief note of the date, nature of the contact, duration and content is recommended.
3. A candidate is required to renew his/her registration each year. Before a Dean or a faculty will re-register a candidate the supervisor must report on progress. A brief report is all that is needed if the candidate's progress is satisfactory, but it must include a statement of what work has been completed, what still needs to be done and an estimation of how long it will take before completion. If progress is not satisfactory, a statement of reasons, and of how the progress is to be corrected, is required.

Candidates must renew their registration before the end of February each year. Although the Doctoral Degrees Board (DDB) does not lay down a maximum period for completion of a thesis, it requires the candidate to complete the thesis within a reasonable period (usually a maximum of five years). A warning should be given to the candidate by the Dean of the Faculty if satisfactory progress is not being made.

In cases where the candidate is registered for a master's degree, the supervisor should consider whether or not the candidate's work is of such a quality that he/she should be encouraged to upgrade his/her registration to a doctorate.

4. Research projects for higher degrees are undertaken at universities to enable a candidate to learn through and gain from interaction with others. A supervisor will, where possible and appropriate, involve his/her candidate in the academic life of the University and the department. The supervisor should arrange for the candidate to present his/her work at departmental or faculty seminars. During their period of registration for the degree of PhD, candidates will normally be required to attend at the University for a period or periods totalling at least one year. By "attend at the University" the Senate understands that the candidate shall, within reason, be readily available for discussion at the University. This principle of interaction is clearly desirable for candidates away from the University and supervisors should ensure that this is happening where the candidate is resident at another institution.
5. The supervisor is expected to ensure that the candidate is made aware of the rules for the degree. The rules for the PhD, the DMus and the LLD place certain obligations on supervisors and there are functions of an administrative nature that are required of supervisors. These include submitting draft citations for doctoral candidates prior to graduation and making the reports of examiners available to candidates after degrees have been awarded.

It should be noted that a supervisor is required to state, at the time that the candidate submits his/her thesis for examination, whether he/she approves submission. This statement is made for the record, but it is up to the candidate to decide whether or not to submit the thesis for examination. The fact that a supervisor has not approved submission is not made known to examiners. In all cases, the supervisor is required to provide the DDB with a descriptive report on the thesis, sufficiently specific about the subject matter of the project to assist a potential examiner in deciding whether or not to accept appointment as such. The report should not include an evaluation of quality. In addition, the supervisor may, where appropriate, provide a separate report about factors, other than personal ones, which affected the carrying out of the research and the writing of the thesis. This second report would be for the information of the Committee of Assessors only.

6. Publication of work towards a PhD is encouraged in some faculties and, while candidates may make mention of their affiliation with the University they may not, prior to the award of the degree, indicate in such publications that their work is associated with or is part of work being done towards a PhD, without having obtained permission from the DDB to do so. Once the degree has been awarded, such permission need not be sought from the DDB. Please refer to the document "Publications, Copyright and your PhD Thesis".
7. Please note that examiners' names and institutional affiliations are kept confidential during the entire examination process. This ruling is to avoid difficulties that could arise were a candidate to contact an examiner

during the process or to write in a way directed to the known views of particular examiners. It is a matter of academic ethics. Doctoral supervisors will be party to the nomination of examiners, but may not discuss these with, or disclose them, to candidates. If a doctoral degree is awarded, the candidate is usually told the names of his/her examiners. While the thesis is under examination, the candidate is not allowed to contact the DDB office to enquire about examiners reports. The supervisor may, however, on behalf of the candidate enquire whether reports have been received. The content of the reports may not be divulged. As soon as all reports have been received by the DDB they are sent to the Faculty's Committee of Assessors for consideration after which recommendations are considered by the DDB. The candidate is advised immediately a decision is taken.

8. A candidate who believes that his/her supervisor is not providing the guidance he/she needs should discuss this with the supervisor in the first instance, and thereafter with the Head of Department or the Dean.
9. Every graduand is encouraged to submit to the Chair of the DDB a report on any aspect of his/her registration for the degree: this could include a report on the quality of supervision received; on the sources of particular assistance, or of particular difficulty; on the facilities available - library, equipment, etc.; on the extent to which there was involvement in the academic life of the Department and of the University, and opportunity to present work at departmental or faculty seminars; on the length of the period of registration; on the administration of the submission/examination process; and prospects or expectations of employment. The Chair of the DDB will send the report to the Dean of the Faculty concerned, and the Dean will pass the report to the Supervisor. The Dean may also provide the Head of Department with a copy of the report.
10. As a rule, the supervisor is appointed by the COA to see that corrections to the library copy are satisfactorily made. Supervisors should note that corrections have to be incorporated into the thesis and that errata slips and addenda are not acceptable. When corrections have been made to the satisfaction of the supervisor, the COA Chairman must be provided with certification to this effect.
11. **Co-supervisors:**

In many cases two or more co-supervisors may be appointed by the Faculty concerned to direct the work of a PhD candidate. One or more of these supervisors may be external to the University. There is special responsibility on the co-supervisors to ensure:

- (a) that the role of each supervisor is clearly demarcated at the outset of the research programme and that the candidate is fully informed about the respective roles of each co-supervisor;
- (b) that special efforts are made to avoid conflict between co-supervisors which will be to the detriment of the candidate who may be trapped in the middle; under these circumstances and if the conflicts are not speedily resolved, the candidate should discuss his/her predicament with the Head of Department or with the Dean, as necessary;
- (c) that one of the co-supervisors assumes ultimate responsibility for the direction and completion of the work; in effect the co-supervisors should agree that one of them be the principal co-supervisor. The principal co-supervisor must be formally nominated by the Head of Department (or his/her nominee) in which the candidate is registered, and must be based at UCT.