

Research Manual

2020-2021

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Introduction

This Research Manual, which complements the Postgraduate Handbook, forms a part of the general University regulations governing graduate studies. It provides uniform guidelines for research graduate students to follow during all stages of the thesis preparation process. It is applicable to all disciplines.

This Research Manual is also to be used by Principal Supervisors, Co-Supervisors and members of Graduate Examination Committee and Thesis Assessment Committee whose responsibilities include ensuring that students follow its guidelines.

This manual provides guidelines, procedures and marking rubrics pertaining to:

- Writing the thesis proposal
- Preparing the defence of proposal
- Writing two papers and oral presentation in workshops
- Colloquium
- Integrity in the research process
- Writing the thesis
- Oral defence of thesis

It is the responsibility of students to adhere to the requirements governing the format for theses, to follow graduation procedures, and to meet deadlines. A thesis which is non-compliant with the policies, procedures, and requirements set out in the Manual will not be accepted by the University.

1. Integrity of Research

1.1 Ethical Clearance

Hong Kong Shue Yan University is committed to high standards of research integrity. Researchers at the University, including students and teaching staff, should therefore demonstrate integrity, honesty and professionalism in the conduct of their research.

The requirement of academic integrity in research includes areas involving human subjects and plagiarism. Any breach of these requirements will result in penalties.

1.2 Ethical Conduct of Research Involving Human Participants

The University strives to promote the highest level of ethical conduct among both students and faculty, with regard to human research. To that end, the University has a Human Research Ethics Committee (HREC) responsible for reviewing and approving all research proposals which involve human participants by staff members and research postgraduates.

Guidelines for the Ethical Conduct of Research Involving Human Participants published by the HREC can be found in Section 2.4 of the Postgraduate Student Handbook and they are also available from the University website: http://www.hksyu.edu/Info/university_committees.html#hrec.

All research proposals involving human subjects must be approved by the Human Research Ethics Committee prior to starting the research.

1.3 Plagiarism and Academic Misconduct Policy

The University puts great emphasis on academic honesty. The object of the Plagiarism and Academic Misconduct Policy is to promote an educational environment where academic honesty and fairness are valued as promoting personal integrity and maintaining the academic standards of the University. The Plagiarism and Academic Misconduct Policy can be found in Section 2.3 of the Postgraduate Student Handbook.

2. Supervisor-Student Relationship

2.1 Role of Supervisors

- 2.1.1 The Director of Graduate School has the responsibility and complete authority to appoint and to reassign academic staff to supervise a student's chosen topic or area of research.
- 2.1.2 There should be two Supervisors and one of whom will be designated as the Principal Supervisor. In the case of a thesis that adopts an interdisciplinary approach, there should be three Supervisors from at least two disciplines, one of whom will be designated as the Principal Supervisor and the others as Co-Supervisor(s).
- 2.1.3 The Principal Supervisor and the Co-Supervisor(s) will meet as a group with the student at least once a semester. This relationship continues from registration until the student submit the final version of the thesis.
- 2.1.4 Supervisors are required to attend training workshops and forum to keep up with the latest research tools, methodologies and policies. Details will be discussed in a later section.

2.2 Role of the Principal Supervisor

The Principal supervisor will:

- Ensure that the University facilities necessary for the research are available;
- Facilitate contact with Co-Supervisors where necessary;
- Arrange regular meetings with the student at which all matters relating to the student's research can be discussed, including feedback on written work;
- Identify the student's development needs at the start of the degree and review and update these throughout the student's study;
- Advise the student on drawing up a research plan, thesis structure and a timetable for completion of the work;
- Help the student prepare for the Progress Reports;
- Provide advice on academic matters so that problems can be identified early on and appropriate steps taken to obtain concessions where needed, such as interruptions of study, absences from the University, leaves of absence and extensions;
- Offer advice on other forms of output from the student's research, such as publication in journals and conference proceedings; and
- Encourage students to develop transferable skills and to attend appropriate training courses.
- The plan for completion of the research will include specific research goals, their timing, sequence, and interdependencies. The Principal Supervisor will monitor the student's progress against this plan, along with any revisions.

2.2.1 Absence of the Principal Supervisor

The Graduate School will make alternative arrangements for supervision in the event that the Principal Supervisor is absent for more than six consecutive weeks, including sick leave and during University vacation periods. The student will be notified formally of any such arrangements.

2.3 Role of Co-Supervisor and Relationship Between Supervisors

2.3.1 The role of the Co-Supervisor is to:

- Support the approach to the main thesis topic addressed by the student and agreed with the Principal Supervisor (rather than offer an alternative approach), for example provide complementary expertise, such as specialized knowledge of a particular technique, or depending on the work context, provide day-to-day supervision in some cases
- Provide support and assistance if the Principal Supervisor is absent
- Meet with the student periodically
- Follow the student's progress
- Be fully involved in the annual reviews of the student's progress and comment on and sign the student's Progress Report. (The Progress Report is at Appendix 1)

2.3.2 Supervisor should have a reasonable knowledge and understanding of the University's regulations and procedures governing graduate study. They are required to advise their students on these regulations and procedures or to direct their students to other sources such as the Graduate School.

2.3.3 The Principal Supervisor and the Co-Supervisor(s) will meet as a group with the student at least once a semester. This relationship continues from first registration on the programme until the student submits the final version of the thesis.

2.3.4 Supervisors are required to attend training workshops and forums to keep up with the latest research tools, methodologies and policies.

2.4 Responsibility of Students

During the whole study period at the University, students are responsible for their own development as researchers and for developing their projects. Students will:

- Acquaint themselves with the standards expected of the relevant degree in their subject;
- Undertake any training as recommended by their Principal Supervisor;
- Take advantage of the facilities and supervision offered in the University;
- Fulfill the requirements of their research degree programme;
- Work diligently and effectively throughout the period of their study;
- Work as a professional, independent researcher accountable for the development of their own research;
- Acknowledge the work of other scholars and researchers on whom they draw;
- Produce a thesis that makes a significant contribution to knowledge;
- Submit the completed thesis on time;
- Ensure that the thesis is their own work and acknowledges sources correctly; and
- Actively seek advice and help if problems arise.

2.5 Resolving Conflicts Between the Supervisor and the Students

2.5.1 If for any reason students feel unable to confide in or work with their supervisors they should approach the Director of Graduate School. University staff will treat such information as confidential and will limit disclosures to as few colleagues as necessary

to resolve the problem. Such avenues are also appropriate when the supervisor-student relationship seems to have broken down or needs to be amended (for example if the supervisor changes institution). In the event of problems, supervisors may also approach the Director of Graduate School.

- 2.5.2 In the case of the breakdown of the supervisor-student relationship, with the mutual agreement of the supervisor and the student, a member of the teaching staff may be identified to replace the supervisor concerned. If the supervisor concerned is the Principal Supervisor, the Co-Supervisor may be appointed to take over the job. All appointments have to be approved by the Director of Graduate School.

2.6 Maintenance of Supervision Portfolio

Each student should have a supervision portfolio which acts as a depository of all paperwork associated with thesis supervision including: confirmation of candidature; record of supervision with all supervisors; notes on supervision; change of supervisors (if applicable); assessment of quality of supervision by both students and supervisors; periodic progress reports; and other relevant documents.

3 Proposal of Thesis

3.1 Introduction

For MPhil and PhD students, there is a probationary period of 12 months and 18 months respectively. Students are required to submit a detailed thesis proposal and pass the defence of the proposal in a symposium before the end of the probationary period. Students who fail to do so will be required to discontinue their study.

3.2 Aims

The aim of the thesis proposal is to demonstrate that:

- there is a need for the research; it is significant and important.
- there is substantial contribution to the field.
- the topic is feasible in terms of availability of funding, equipment, supervisors, and data.
- the topic matches the student's interests and capabilities.
- the research can be completed in the normative study period.
- ethical issues have been considered and approval has been given for the research by the Human Research Ethics Committee.

3.3 Originality

Apart from the length and complexity of the research, the main difference between an MPhil and PhD thesis proposal is that a PhD thesis must contain something original and hitherto unpublished.

3.4 Presentation Format

The proposal will be presented as a written report as well as a colloquium. The usual audience will be members of the Graduate Studies Committee and fellow postgraduate students.

3.5 Structure of the Proposal

The proposal will include at least six components:

A. Statement of Topic

Introduce the general subject area and how the topic is relevant to the subject area. Briefly point out why it is a significant topic and what contribution the work will make.

B. Aims of the Thesis

Set up specific objectives and outcomes of the research.

C. Literature Review

This, together with the following section on the theoretical orientation, will be the main substance of the proposal and will lay the basis for the discussions of methods and the entire research program.

The literature review should explain the relation of your topic and research aims to significant literature and recent (and current) research in your field. The form of the literature review may vary according to the nature of the field: experimental, philosophical, theoretical, comparative, etc., but its purpose will be the same in all fields. The literature review should place your proposed research topic clearly in its relevant research context and should demonstrate your awareness of significant similar or relevant research.

Qualitative judgements may be made concerning the literature. Students must be careful not to allow the evaluation of previous work to become a large open-ended task. To this end, students should consult with supervisors on the types of questions that need to be asked, and the boundaries that should be placed on the literature review.

At the time of writing the proposal, the literature review is destined to be incomplete. As the research progresses, the student is expected to continue to expand and update the literature. The final literature review will be included in your thesis.

D. Theoretical Framework

Basic ideas on the intended theoretical framework should be stated as follows.

- First, state the various theoretical approaches taken in your topic. Which one do you propose to use in your research and why? Where, tentatively do you stand on the topic?
- If there are various theories on your topic or in your field, which one(s) will you use in your conceptual framework for your thesis?
- Which terms or trends do you wish to follow up from the literature review?
- Do you have any fresh suggestions of an explanatory, interpretative, or programmatic kind?

E. Research Methodology

The proposed research methodology should be described in sufficient detail to provide the following information:

- Type of data/information to be used;
- The sources of data/information;
- Resources required;
- Methodology to be used;
- Rationale for the choice of methodology;
- Ethical and safety issues which have been taken into consideration.

F. References

List all publications cited in the proposal. The citation format should be in accordance with that recommended by the University or supervisors.

3.6 Submission of Proposal

A student is required to submit his/her proposal to the Graduate Examination Committee at least a month before the date of the colloquium where the proposal is to be defended. The written proposal must be submitted through the VeriGuide.

3.7 Defence of Proposal

The colloquium usually takes no more than an hour. The student will be given 30 minutes to do a presentation, and the remaining time will be open to questions from the Graduate Examination Committee and the audience.

3.8 Assessment Rubrics of Thesis Proposal

Assessment Criteria	Excellent	Good	Pass	Fail
Written Work				
1. Choice of Topic	The topic is highly innovative and significant; the scope of research is appropriate; the statement of topic is very clearly stated	The topic is novel and significant; the scope of research is appropriate; the statement of topic is clearly stated	The topic is acceptable and has some significance; the scope of research is reasonable; the statement of topic is stated	The topic outdated, of no significance or has no potential for research; the scope of research is either too wide or too narrow; the statement of topic is not clear
2. Ability to critically evaluate the meaning, value, and contribution of published literature in the field	Command and understanding of the current research literature in the field	Relates and understands the current research literature in the field	Aware of the research literature in the field	Knowledge is unrelated to the current research literature in the field
3. Ability to identify a theoretical framework	The theoretical approach is creative, accurate, and engaging; demonstrates excellent critical thinking skills and mastery of theoretical concepts	The theoretical approach is superior, appropriate and accurate; demonstrates good critical thinking skills and understanding of theoretical concepts	The theoretical approach is appropriate and logical; demonstrates acceptable critical thinking skills and reasonable understanding of theoretical concepts	The theoretical approach is inappropriate and confusing; demonstrates limited critical thinking skills and understanding of theoretical concepts
4. Quality of Writing	Writing is of publication quality; no grammatical or spelling errors; organization is excellent; documentation is excellent	Writing is good; a few grammatical and spelling errors; organization is logical; documentation is good	Writing is adequate; some grammatical and spelling errors; organization is acceptable; documentation is adequate	Writing is weak; a lot of grammatical and spelling errors; organization is poor; documentation is poor

3.9 Assessment Rubrics of Proposal Defence

1. Quality of Presentation	Organization is excellent; communication is excellent; visual aids are used highly effectively	Organization is good; communication is good; visual aids are used effectively	Organization is inconsistent; communication is barely acceptable; visual aids are used ineffectively	Organization is poor; communication is poor; visual aids are not employed or used poorly
2. Response to questions	Responses are eloquent; responses are reflective of excellent knowledge in the topic	Responses are complete; responses are reflective of good knowledge in the topic	Responses satisfy questions minimally; responses are reflective of adequate knowledge in the topic	Responses are incomplete or poor; responses are flustered or defensive

4. Workshops

4.1 Introduction

PhD students are required to write two papers of 7,000 -10,000 words on different topics and present them at separate workshops. One of the papers must adopt an interdisciplinary approach and the other paper should focus on a topic that will not form part of the final thesis. The papers are to be delivered in two separate workshops open to all. The Graduate Examination Committee will grade the workshops as Pass or Fail according to the quality of the written work and the student's performance in the workshops.

4.2 Submission of Written Work

Students are required to submit their written papers to the Graduate Examination Committee at least a month before the date of the workshops. The written papers must be submitted through VeriGuide.

4.3 Presentation Format

The workshop usually takes no more than an hour. The student will be given 30 minutes to do a presentation and the remaining time will be open to questions from the Graduate Examination Committee and the audience.

4.4 Assessment Rubrics of Workshop

Assessment Criteria	Excellent	Good	Pass	Fail
1. Written Work				
1. Mastery of fundamental knowledge in the topic	Consistently applies fundamental and advanced concepts to topics in subject area	Frequently applies fundamental and some advanced concepts to topics in subject area	Somewhat applies fundamental concepts to topics in subject area	Does not apply fundamental concepts to topics in subject area
2. Ability to critically evaluate the meaning, value, and contribution of published literature in the field	Command and understanding of the current research literature in the field	Relates and understands the current research literature in the field	Aware of the research literature in the field	Knowledge is unrelated to the current research literature in the field
3. Imagination and originality of thought	Problem/purpose of study very creative or original with new and innovative ideas; Explored original topic and discovered new outcomes	Problem/purpose of study original or creative; Design/approach appropriate or innovative	Problem/purpose of study moderately original or creative; Design/approach moderately appropriate or innovative	Problem/purpose of study lacked creativity or not new; Duplication of previous work
4. Ability to draw reasoned conclusions from a body of knowledge	Discussion was superior, accurate, and engaging; Conclusions/summaries and recommendations appropriate and clearly based on outcomes	Discussion sufficient and with few errors; Greater foundation needed from past work in area; Conclusions/summary based on outcomes and appropriate, included some recommendations	Major topics or concepts inaccurately described; Considerable relevant discussion missing; Conclusions/summary not entirely supported by findings/outcomes	Little discussion of project findings/outcomes; Displayed poor grasp of material; Conclusion/summary not supported by findings/outcomes
5. Quality of Writing	Writing is of publication quality; no grammatical or spelling errors; organization is excellent; documentation is excellent	Writing is good; a few grammatical and spelling errors; organization is logical; documentation is good	Writing is adequate; some grammatical and spelling errors; organization is acceptable; documentation is adequate	Writing is weak; a lot of grammatical and spelling errors; organization is poor; documentation is poor

2. Presentation				
1. Quality of Presentation	Organization is excellent; communication is excellent; visual aids are used highly effectively	Organization is good; communication is good; visual aids are used effectively	Organization is inconsistent; communication is barely acceptable; visual aids are used ineffectively	Organization is poor; communication is poor; visual aids are not employed or used poorly
2. Cognitive Skills	Depth and breadth of knowledge is excellent; shows excellent critical thinking skills	Depth and breadth of knowledge is good; shows good critical thinking skills	Depth and breadth of knowledge is limited; shows minimal critical thinking skills	Depth and breadth of knowledge is unacceptable; does not show well-developed critical thinking skills
3. Response to Questions	Responses are eloquent; responses are reflective of excellent knowledge in the topic	Responses are complete; responses are reflective of good knowledge in the topic	Responses satisfy questions minimally; responses are reflective of adequate knowledge in the topic	Responses are incomplete or poor; responses are flustered or defensive

5. Colloquium

5.1 Introduction

PhD Students are allowed to hold the Colloquium after passing the two Workshops. The Colloquium will be the presentation of a representative chapter of their dissertation. The Graduate Examination Committee will grade the Colloquium as Pass or Fail according to the quality of the written work and the student's performance in the Colloquium. Upon passing the Colloquium, students will be granted the status of PhD candidates.

5.2 Submission of Written Work

Students are required to submit their written papers to the Graduate Examination Committee at least a month before the date of the workshops. The written papers must be submitted through VeriGuide.

5.3 Purpose of the Colloquium

The purpose of the Colloquium is to assess whether a PhD student is qualified to be promoted to the status of PhD candidate. The student has to demonstrate his/her understanding of the literature, as well as preparedness to conduct research, in the selected research focus. The student is required to present the first chapter of the dissertation and be examined orally at the Colloquium.

5.4 Presentation Format

The Colloquium usually takes no more than an hour. The student will be given 30 minutes to do a presentation and the remaining time will be open to questions from the Graduate Examination Committee and the audience.

5.5 Assessment Rubrics of Colloquium

Assessment Criteria	Excellent	Good	Pass	Fail
1. Written Paper				
1. Mastery of fundamental knowledge in the topic	Consistently applies fundamental and advanced concepts to topics in subject area	Frequently applies fundamental and some advanced concepts to topics in subject area	Somewhat applies fundamental concepts to topics in subject area	Does not apply fundamental concepts to topics in subject area
2. Ability to critically evaluate the meaning, value, and contribution of published literature in the field	Command and understanding of the current research literature in the field	Relates and understands the current research literature in the field	Aware of the research literature in the field	Knowledge is unrelated to the current research literature in the field
3. Ability to select and apply the frameworks, concepts, theories or methods appropriate to their question.	Shows excellent ability to select and apply the frameworks, concepts, theories or methods appropriate to their question	Shows good ability to select and apply the frameworks, concepts, theories or methods appropriate to their question	Shows minimal ability to select and apply the frameworks, concepts, theories or methods appropriate to their question	Shows poor ability to select and apply the frameworks, concepts, theories or methods appropriate to their question
4. Imagination and originality of thought	Problem/purpose of study very creative or original with n select and apply the frameworks, concepts, theories or methods appropriate to their question. New and innovative ideas; Explored original topic and promised new outcomes	Problem/purpose of study original or creative; Design/approach appropriate or innovative	Problem/purpose of study moderately original or creative; Design/ approach moderately appropriate or innovative	Problem/purpose of study lacked creativity or not new; Duplication of previous work

5. Ability to draw reasoned conclusions from a body of knowledge	Discussion was superior, accurate, and engaging; Conclusions/summaries and recommendations appropriate and clearly based on outcomes	Discussion sufficient and with few errors; Greater foundation needed from past work in area; Conclusions/summary based on outcomes and appropriate, included some recommendations	Major topics or concepts inaccurately described; Considerable relevant discussion missing; Conclusions/summary not entirely supported by findings/outcomes	Little discussion of project findings/outcomes; Displayed poor grasp of material; Conclusion/summary not supported by findings/outcomes
6. Quality of Writing	Writing is of publication quality; no grammatical or spelling errors; organization is excellent; documentation is excellent	Writing is good; a few grammatical and spelling errors; organization is logical; documentation is good.	Writing is adequate; some grammatical and spelling errors; organization is acceptable; documentation is adequate	Writing is weak; a lot of grammatical and spelling errors; organization is poor; documentation is poor
2. Presentation				
1. Quality of Presentation	Organization is excellent; communication is excellent; visual aids are used highly effectively	Organization is good; communication is good; visual aids are used effectively	Organization is inconsistent; communication is barely acceptable; visual aids are used ineffectively	Organization is poor; communication is poor; visual aids are not employed or used poorly
2. Cognitive Skills	Depth and breadth of knowledge is excellent; shows excellent critical thinking skills	Depth and breadth of knowledge is good; shows good critical thinking skills	Depth and breadth of knowledge is limited; shows minimal critical thinking skills	Depth and breadth of knowledge is unacceptable; does not show well-developed critical thinking skills
3. Response to Questions	Responses are eloquent; responses are reflective of excellent knowledge in the topic	Responses are complete; responses are reflective of good knowledge in the topic	Responses satisfy questions minimally; responses are reflective of adequate knowledge in the topic	Responses are incomplete or poor; responses are flustered or defensive

6. Thesis

The thesis is a central part of the requirements for an MPhil or PhD. The lecture courses in the MPhil/PhD programme provide training in research skills and methodology, foundation knowledge in the discipline/ field and exposure in the connectedness of related disciplines/ fields and contribute to the writing of the thesis.

6.1 MPhil Thesis

An MPhil thesis should be an in-depth study of a particular topic. It should make an adequate original contribution to knowledge or understanding or be a valuable presentation or interpretation of material put together in an original manner.

6.2 PhD Thesis

A PhD thesis should be in-depth study of a particular topic. It should demonstrate a deep and holistic understanding of theories and concepts in the field and make an original and new contribution to the discipline. The PhD candidate is expected to become the foremost expert on the topic area. The quality of writing should be benchmarked against peer-reviewed publications of an academic nature.

6.3 Length of Thesis

- For a MPhil thesis, the normal length of the thesis is up to 40,000 characters in Chinese or 20,000 words in English.
- For a PhD thesis, the normal length of the thesis is up to 150,000 characters in Chinese or 100,000 words in English.

6.4 Submission of Thesis

In submitting his/her thesis, students must observe the following requirements:

- A student has to submit the copy for the External Examiner to the Graduate School and other copies for the members of the Thesis Assessment Committee to the department (the number of copies to be submitted depends on the number of members of the Thesis Assessment Committee).
- Students have to submit their thesis through VeriGuide.
- Students should submit a hardcopy of their thesis (bound in a temporary form) together with a signed “Declaration Statement” downloaded from VeriGuide to the Thesis Assessment Committee Chairperson, the Supervisors and the Graduate School according to the proposed schedule, unless permission to defer has been obtained.

6.5 Thesis Assessment Committee

- 6.5.1 The Thesis Assessment Committee is to evaluate the student's thesis for award of the degree sought and provide the student with an opportunity to defend the thesis in a viva voce examination.
- 6.5.2 The composition of the Committee is as follows:
- (a) Chairperson – the Head of Department or his/her representative (The Principal Supervisor should NOT serve as the Chairperson of the Thesis Assessment Committee.
 - (b) the student's Principal Supervisor
 - (c) a third Internal Examiner from within or without the Department, i.e. "Other" Internal Examiner - The Internal Examiners must read the student's thesis and participate in the student's viva voce examination, and come to a view as to whether the student's research work and knowledge meet the standard which would normally be expected of a student in the University submitting for that degree, and the University's criteria for the award of the degree. They should seek to ensure that, during the viva voce examination, the student is given a fair opportunity to defend his/her work and that the External Examiner is aware of any extenuating circumstances which have a bearing on the student's case. (The Internal Examiners must be academic staff of the University, except that within three months after his/her retirement/resignation, a teacher may continue to serve as Supervisor/Internal Examiner of the student.)
 - (d) External Examiner – the External Examiner should be a recognized expert in the field of the thesis concerned. He/she must come to a view as to whether the student's research work and knowledge are of a standard which are comparable to those of students being examined at other institutions for the same degree. He/she will provide an independent and impartial assessment of the thesis.

6.6 Timeline of thesis submission and oral examination

- 6.6.1 The timeline and flow chart of thesis submission and defence is attached at Appendix 11.

6.7 Viva Voce Examination

- 6.7.1 After dispatch of the thesis to the Thesis Assessment committee, a viva voce examination will be arranged. Normally, it will be held within two months after the submission of the thesis for both doctoral and master's students.
- 6.7.2 The viva voce examination is open to the public. It will normally last for ninety minutes. Students will be given not more than thirty minutes to present the thesis. The remaining time will be questions from the Thesis Assessment Committee.
- 6.7.3 The purpose of the examination is to enable the examiners to clarify any ambiguities in the thesis, to satisfy themselves that the thesis is the student's own work, that the student is familiar with the relation of his/her work to the field of study and that his/her knowledge and understanding of related fields in the subject are of the standard expected for the award of the degree. Notes on how to prepare for the viva voce examination is at Appendix 12.

6.7.4 The assessment for the thesis and the follow-up actions on different final grades are shown in the following table:

Grade	Status	Follow-up Action
I	Pass	<p><u>Grade IA</u>: Revision is not required; the student will be recommended for award of degree.</p> <p><u>Grade IB</u>: Minor revision is required, the revised thesis should be inspected and approved by supervisor(s) before the student is recommended for award of degree.</p> <p><u>Grade IC</u>: Major revision is required, the revised thesis should be inspected and approved by the Thesis Assessment Committee.</p>
II	NOT passed. Re-submission allowed and re-examination required.	<p>Students should:</p> <ul style="list-style-type: none"> ● revise, re-submit the thesis to the Thesis Assessment Committee and re-examination is required ● pay re-submission fee and extension fee (if applicable)
III	Failure - no re-submission is allowed.	Graduate School to follow up with the student to discontinue studies.

6.7.5 In the event of a disagreement on the appropriate outcome of the viva voce examination between the Internal and External Examiner, the matter should be resolved by the Examiners on the basis of detailed argument about the specific academic points arising from the examination, and a joint decision should be reached.

6.7.6 The Thesis Assessment Committee will hold a meeting immediately after the viva voce examination. The student will be given immediate informal feedback on the outcome of the examination and will be advised that more formal details will be transmitted later in writing.

6.7.7 Examiners are normally given a period of four weeks for writing an assessment report for the thesis. (The Thesis Examiner Report is at Appendix 2&3) Upon receipt of all Examiners' reports, the Graduate Examination Committee Chairperson will decide on a final assessment within four weeks and make recommendation for approval from the Graduate School. Graduate School will inform the student of the final assessment result and the follow-up actions required. If revisions are required, the Supervisors must ensure that corrections are made satisfactorily within a specified period of time, and no later than three months.

6.8 Re-submission

6.8.1 A student whose thesis is not passed but re-submission is allowed, and re-examination is required must re-write and re-submit the thesis to the satisfaction of the Thesis Assessment Committee before being recommended for the award of degree. Such re-submission must be made within 12 months from the date of the official notification of the result of the first examination and within the student's prescribed maximum period of study.

- 6.8.2 A student who is requested to re-submit her thesis will continue to receive supervision from the Supervisors. She will have to complete and submit the Progress Report until she has re-submitted the thesis. The Progress Report is at Appendix 1.
- 6.8.3 A student who fails to submit the final version of thesis within one year from the date as specified by the Thesis Assessment Committee will be requested to discontinue studies.
- 6.8.4 Apart from ruling in regard to thesis re-submission, the Thesis Assessment Committee may decide whether or not the student should be re-assessed by oral examination. Only one re-submission of thesis is allowed.

6.9 Style Guides

The latest edition of any of the following style manuals upon the approval of the student's supervisor(s) may be used. Only one style is to be used in a single thesis.

Vetruba, Brian. *MLA Handbook for Writers of Research Papers*. 8th ed. New York: Modern Language Association of America, 2016.

Publication Manual of the American Psychological Association. 6th ed. Washington, D.C.: American Psychological Association, 2009.

The Chicago Manual of Style. 16th ed. Chicago: The University of Chicago Press, 2010.

6.10 Format Requirements

6.10.1 Typeface

An appropriate typeface (usually TrueType fonts include Times New Roman, Helvetica, Ariel, and others) and font size (with a 12 point for the text) should be used consistently throughout the paper. Script type is not permitted.

6.10.2 Margins

The entire document should have uniform margins. Top margin: 1½ inches on all pages except:

- Title page: 2-inch top margin
- First page of each chapter: 2-inch top margin
- First page of the Bibliography: 2-inch top margin
- Bottom margin: 1 inch
- Left margin: 1½ inches
- Right margin: 1 inch

6.10.3 Spacing

The text should be typed double-space. Long quotations, type as block quotes, which should be indented 5 spaces, single-spaced with a triple-space before and after. Table and figure captions as well as descriptions, footnotes, references, and bibliographic information may use single-spacing (although a double-space should appear between

each new reference/citation).

The chapter header and title on the first page of each chapter also has specific spacing requirements. After the 2 inch top margin, center the chapter header (type in all capital letters using Roman numerals for the chapter numbers), double-space, center the chapter title (type in all capital letters), triple-space, and then begin the text.

The triple-space should also be used before and after all tables and figures placed on the same page with text. The additional space helps the item to stand out, making it easier for readers to find and examine.

6.10.4 Pagination

The pages in the preliminary material must be numbered consecutively with lower-case Roman numerals, centered at the bottom of 1-inch margin. The title page has no page number typed on it but is understood to be page “i”. If a copyright page is included, it is not counted in the numbering and is not numbered.

Arabic numbers should be used for the remainder of the paper, including the reference materials. Begin Arabic numbering with the number 1 on the first page of the text. All pages are numbered in sequence, including the first pages of chapters, full-page tables or figures and appendices. All Arabic numbers should be replaced consistently throughout the document (refer to the style typed guide for preferred page number replacement). On pages, in landscape orientation, the page number must be placed in the portrait position. Page numbers should not be accompanied by the headers (or footers) or followed by a period or enclosed by hyphens or parentheses.

6.10.5 Paragraphs

Each paragraph should be indented. A new paragraph should not begin at the bottom of a page unless there is adequate space for at least two lines.

6.10.6 Block Quotation

All quotations exceeding three lines in length must be typed in block format, indented a standard 5-space tab from the left margin and typed single-space. Quotation marks are not used with block quotations, unless used in the original. Block quotations are separated from the text by a triple-space before and after.

6.10.7 Organization of the Text

In most cases, a thesis or dissertation consists of four major parts-abstract, the preliminary materials, the text, and the references/bibliography. Some documents may also include appendices. The following table contains a list of all of the major and minor parts, in their usual order of placement. Afterward, each component and its requirements are explained in detail.

Abstract	Required
Preliminary materials:	
Title Page	Required
Copyright Page	Required if seeking copyright
Dedication	Optional
Approval Page	Required
Acknowledgments	Optional
Preface	Optional
Table of Contents	Required
List of Tables	Recommended
List of Figures	Recommended
Text	Required
References/Bibliography	Required
Appendices	Optional

The parts to be included in any thesis or dissertation should be determined by mutual agreement between the student and his/her committee. Each specific part of the document is described below in detail.

Abstract (Required)

An abstract must be included with each thesis and dissertation submitted to The Graduate School. The abstract should be a summary of the paper, stating only the problem, procedures used, and the most significant results and conclusions. Explanation and opinions are omitted. Remember to include the necessary information regarding any multimedia components included in the document.

The abstract margins are consistent with the text of the paper: 1½-inch top and left; 1-inch bottom and right.

The heading of the abstract is structured in a specific format. Please note that the name and title used on the abstract should be the same (i.e. use of initials, wording, etc.) as the name and title used on the title page. The abstract heading is typed single-space exactly as follows:

STUDENT'S NAME in all capital letters (last name first). Next, type the degree in abbreviated form (ex: PhD or MPhil). Then, add the title with the First Letter of Each Important Word Capitalized. (Finally, the year the degree will be conferred is enclosed in parentheses) Name of thesis/dissertation Principal Supervisor.

Preliminary Materials

Title Page (Required)

The title page should follow exactly the spacing and use of capitalization shown in the sample in Appendix 5. The top margin is 2 inches, and the information is centered, except for the signature line(s) which begins at the center of the page and continues toward the right margin.

The title is typed in all capitals and, if it is more than one line in length, it is arranged

in an inverted pyramid. The date on the title page should be the year the degree is to be granted. The name of the degree sought, but not the major department or field of study, is included here (for example: Doctor of Philosophy or Master of Philosophy).

The title page has no preliminary page number typed on it, but it is counted as preliminary page “i”.

Dedication (Optional)

A dedication gives special tribute to a specific person(s). There is no heading on this page. Most dedications are short, beginning with the word “To...” The dedication is typed alone on the page, usually centered. The page should have a 1½-inch top margin, or the dedication may be typed in the middle of the page (top to bottom). The text of the dedication is double-spaced. The preliminary page number ii should be centered at the 1-inch bottom margin. When a dedication is included, the approval page, normally preliminary page ii, will become preliminary page iii.

Approval Page (Required)

The signatures of the thesis/dissertation committee chair (or co-chair) and committee members attest to the acceptance of the paper. The approval page follows the format shown in the sample at the end of this guide (Appendix 6). The heading APPROVAL PAGE is centered at the 1½ inch top margin. A line is provided for the signature of the committee names under the signature lines; do not include titles or degrees.

At the bottom, left side of the page, include the lines for the date of acceptance and the date of the final oral examination. For master’s students who do not have a final oral examination, (defense of thesis), omit this line.

The preliminary page number ii (or iii, if a dedication is included in the document) is centered at the 1-inch bottom margin.

Acknowledgments (Optional)

When included, acknowledgments should be brief, simple, and free of sentimentality or trivia. It is customary to recognize the assistance of the advisor and/or committee chair, all other members of the committee and only those organizations and/or persons who actually aided the research. If financial support was provided to make the study possible, credit for such assistance should be given.

The heading ACKNOWLEDGMENTS is typed in the center at the 1½ inch top margin. The text is double spaced with the preliminary page number centered at the bottom margin.

Preface (Optional)

A preface is a statement that either explains the author’s reasons for pursuing this subject matter or provides a personal comment about the subject that would not otherwise be included in the document. The heading PREFACE is centered at the 1½ inch top margin. The text is double-spaced with the appropriate preliminary page number(s) centered at the bottom margin.

Table of Contents (Required)

The table of contents is placed immediately after the acknowledgements or preface and contains a listing of all items that follow. The table of contents lists only the items that follow it. It does not include the items that precede it.

The heading TABLE OF CONTENTS is centered at the 1½-inch top margin. One double-spaces down from the heading, the word “Page” is typed flush with the right margin. Page numbers for each chapter title/heading and each subtitle/subheading are listed on the table of contents and should be right flush, beneath the word “Page”.

The contents begin at the left margin, one double-spaces below the word “Page”. Preliminary items, such as LIST OF TABLES, are typed flush with the left margin, followed by a series of dots, known as leaders, and the page number typed flush with the right margin. Please note that the abstract, title page, and approval page are not listed on the table of contents.

Following the preliminary items, the word CHAPTER stands alone on a line at the left margin. Chapter headings are numbered with Roman numerals, aligned by their decimals. The chapter titles are typed in capitals and are worded exactly as they appear in the text. The indentation of chapter titles, subheadings, and subdivisions follow exactly the form used in the sample table of contents at the end of this guide. It is not required that students list subheadings on the table of contents. However, when subheadings are listed, all subheadings of that level must be included. These are listed using the exact wording and capitalization used in the text. In most cases, the first letter of all words is capitalized except articles, conjunctions, and prepositions of four or fewer letters. Dot leaders extend from the last word of each item to the corresponding page number.

When a title or subheading must exceed one line, the subsequent line(s) should be single-spaced and indented two spaces. Double-spacing is used between each chapter title. If there are subheadings included, these should be typed single-space with a double-space separating them from chapter titles above and below. See the sample page in the back of this guide (Appendix 7).

Consider utilizing bookmarks for the items included on your Table of Contents.

List of Tables (Recommended if tables are present)

The list of tables follows the table of contents and begins on a separate page. The heading LIST OF TABLES is centered at the 1½-inch top margin. The remainder of the page is set up basically the same as the table of contents, with the column heading “Page” typed at the right margin followed by a double-space, then the list of table numbers and titles. Each table title should be followed by dot leaders and the page number. All table titles must be listed in order using the exact title (as it appears on the actual table) and the appropriate page number. Tables should be numbered in the order they appear in the paper, using the numbering system provided in the style guide selected.

Titles of more than one line are single-spaced, with second and succeeding lines indented two spaces. Double-spacing is used between table titles. Only titles, not

explanatory notes, should be included on the list of tables. Sample of List of Tables is at Appendix 8.

List of Figures (Recommended if figures are present)

The list of figures follows the list of tables on a separate page. All illustrations other than tables are designed as figures. These items should be numbered with Arabic numbers consecutively as they appear in the paper, using the numbering system provided by the style guide selected. All figure titles should be listed in order using the exact title (as it appears as on the actual figure) and the appropriate page number.

Titles of more than one line are single-spaced, with second and succeeding lines indented two spaces. Double-spacing is used between figure titles. Only titles, not explanatory notes, should be included on the list of figures. Sample of List of Figures is at Appendix 9.

Text (Required)

Chapters

The division of the main text of the paper should be appropriate to the character of the work and in accordance with the practices in the student's field of study. Normally, the text of the paper includes an introductory chapter, a documentation of previous work in the field, the specific proposition to be investigated, a complete explanation of the methodology used, a discussion of the results and their significance, and a summary. Sample of List of Figures is at Appendix 10.

Each major division, usually called a chapter, should begin on a new page. The first page of each chapter has a very specific format:

- Two-inch top margin.
- The heading is centered, typed in all capitals, and uses Roman numeral designations (ex: CHAPTER I).
- Double-spaced (the equivalent of one single-spaced blank line in between).
- The chapter title is centered and typed in all capitals.
- Triple-spaced (the equivalent of two single-spaced blank lines in between).
- First subheading or begin text.
- The text of the thesis or dissertation should be double-spaced.

Subheadings

For complex theses or dissertations, the use of multiple "levels" of subheadings may be necessary. The use and placement of subheadings should be consistent throughout the entire document. Each new "level" should be distinct from the others in placement and/or structure (underlined, italicized, bold, etc.). Your style guide should provide a clear pattern for subheading placement and order.

Tables and Figures

Statistical information is usually set up in tabular form. Tables may be placed on a page with text or on separate pages. If placed in the text, the table should follow the point of

first reference as closely as possible and should be separated from the text by a triple-space (both above and below). If this is not practical, the text is continued, and the table is inserted on the next page at the first natural break in the text. Tables are numbered consecutively, and table captions should be in accordance with the selected style guide. The table is then typed beginning one double-space below the last line of the caption, either single- or double-spaced.

In some cases, it may be necessary to reduce a table or figure photographically by using a digital scanner since the title and legends should appear on the same pages as the figures they accompany. If the table or figure is landscape format, the top should be placed at the 1 ½ inch left margin. Please note that the page numbers on landscape pages must appear in the same position and direction as the page numbers on portrait pages. All tables and figures must conform to the specified margin requirements.

Reference Materials (Required)

The thesis/dissertation should contain the appropriate references to original literature relevant to the research presented in the paper. In the humanities and social sciences, this documentation is achieved through footnotes or endnotes and a bibliography. For specific formatting details, please refer to the style guide recommended by the thesis/dissertation committee.

All bibliographical references should clearly show the sources of the writer's information. When primary sources are not available, reference to a source known only through a secondary reference must be noted so as to provide readers with the means to check original sources.

The bibliography must include all references cited. Useful references not cited in the text, but highly relevant to the investigation, may also be listed in the bibliography.

The first page of the reference materials should immediately follow the last page of the text. The heading REFERENCES (or BIBLIOGRAPHY, depending on your style guide) is centered at the 2-inch top margin. Double-space after each reference listed.

Appendices (Optional, as needed)

The appendices may contain tables of data that would interfere with the easy reading of the text, development of mathematical treatments, very long quotations, schedules, forms, interviews, inventories, samples of test items, surveys, illustrative materials and any other supplementary material considered worthy of recording or too detailed to be included in the text. If diverse materials are included, they should be grouped into categories and each category labeled as separate appendix (ex: Appendix A. Tables; Appendix B. Consent Forms; etc.) Each appendix should have lettered heading and a description title typed on the actual appendix item and listed on the table of contents.

The appendices follow the reference materials and are paginated continuously, with the page numbers placed in the same position as throughout the text. All items must meet the specified margin requirements.

6.10.8 Proofreading and Editing

After final approval by the supervisors, the text should be proofread carefully by the student or other interested person for editorial accuracy. Spelling, grammar, punctuation, and sentence structure should be consistent with the rules of formal Standard English, and the citation method should be consistent with the appropriate style guide.

6.11 Assessment Rubrics of PhD Thesis

The Thesis

Assessment Criteria	Excellent	Good	Pass	Fail
1. Mastery of fundamental knowledge in the topic	Consistently applies fundamental and advanced concepts to topics in subject area	Frequently applies fundamental and some advanced concepts to topics in subject area	Somewhat applies fundamental concepts to topics in subject area	Does not apply fundamental concepts to topics in subject area
2. Ability to critically evaluate the meaning, value, and contribution of published literature in the field	Command and understanding of the current research literature in the field	Relates and understands the current research literature in the field	Aware of the research literature in the field	Knowledge is unrelated to the current research literature in the field
3. Ability to select and apply the frameworks, concepts, theories or methods appropriate to their question	Shows excellent ability to select and apply the frameworks, concepts, theories or methods appropriate to their question	Shows good ability to select and apply the frameworks, concepts, theories or methods appropriate to their question	Shows minimal ability to select and apply the frameworks, concepts, theories or methods appropriate to their question	Shows poor ability to select and apply the frameworks, concepts, theories or methods appropriate to their question
4. Imagination and originality of thought	Problem/purpose of study very creative or original with n select and apply the frameworks, concepts, theories or methods appropriate to their question. New and innovative ideas; Explored original topic and promised new outcomes	Problem/purpose of study original or creative; Design/approach appropriate or innovative	Problem/purpose of study moderately original or creative; Design/ approach moderately appropriate or innovative	Problem/purpose of study lacked creativity or not new; Duplication of previous work
5. Ability to draw reasoned conclusions from a body of knowledge	Discussion was superior, accurate, and engaging; Conclusions/summaries and recommendations appropriate and clearly based on outcomes	Discussion sufficient and with few errors; Greater foundation needed from past work in area; Conclusions/summary based on outcomes and appropriate, included some recommendations	Major topics or concepts inaccurately described; Considerable relevant discussion missing; Conclusions/summary not entirely supported by findings/outcomes	Little discussion of project findings/outcomes; Displayed poor grasp of material; Conclusion/ summary not supported by findings/outcomes
6. Quality of Writing	Writing is of publication quality; no grammatical or spelling errors; organization is excellent; documentation is excellent	Writing is good; a few grammatical and spelling errors; organization is logical; documentation is good.	Writing is adequate; some grammatical and spelling errors; organization is acceptable; documentation is adequate	Writing is weak; a lot of grammatical and spelling errors; organization is poor; documentation is poor

The Viva Voce Examination

Assessment Criteria	Excellent	Good	Pass	Fail
1. Quality of Presentation	Organization is excellent; communication is excellent; visual aids are used highly effectively	Organization is good; communication is good; visual aids are used effectively	Organization is inconsistent; communication is barely acceptable; visual aids are used ineffectively	Organization is poor; communication is poor; visual aids are not employed or used poorly
2. Cognitive Skills	Depth and breadth of knowledge is excellent; shows excellent critical thinking skills	Depth and breadth of knowledge is good; shows good critical thinking skills	Depth and breadth of knowledge is limited; shows minimal critical thinking skills	Depth and breadth of knowledge is unacceptable; does not show well-developed critical thinking skills
3. Response to Questions	Responses are eloquent; responses are reflective of excellent knowledge in the topic	Responses are complete; responses are reflective of good knowledge in the topic	Responses satisfy questions minimally; responses are reflective of adequate knowledge in the topic	Responses are incomplete or poor; responses are flustered or defensive

Overall Performance

Assessment Criteria	Pass with No Revision	Pass with Minor Revisions	Pass with Major Revisions	Not Pass (Resubmission allowed)	Fail
1. A deep and holistic understanding of theories and concepts in the field and at the interface between it and the associated fields/ disciplines as demonstrated in thesis statement and literature review	<ul style="list-style-type: none"> Arguments are superior Objectives are well defined Exhibits mature, refined critical thinking skills Reflects mastery of subject matter and associated literature. Demonstrates mastery of theoretical concepts Documentation is excellent Generates well-reasoned and well-supported hypotheses 	<ul style="list-style-type: none"> Arguments are coherent and reasonably clear Objectives are clear Demonstrates adequate critical thinking skills Reflects understanding of subject matter and literature Demonstrates understanding of theoretical concepts Documentation is adequate Generates adequate hypotheses 	<ul style="list-style-type: none"> Arguments are largely consistent and acceptable Objectives are mostly clear Demonstrates acceptable critical thinking skills Reflects acceptable level of understanding of subject matter and literature Demonstrates minimal understanding of theoretical concepts 	<ul style="list-style-type: none"> Arguments are sometimes incorrect, incoherent, or flawed Objectives are poorly defined Demonstrates limited critical thinking skills Reflects limited understanding of subject matter and associated literature Demonstrates limited understanding of theoretical concepts Documentation is weak Inadequate statement of hypotheses 	<ul style="list-style-type: none"> Arguments are largely incorrect, incoherent, or flawed Objectives are not defined Demonstrates minimal critical thinking skills Reflects minimal understanding of subject matter and associated literature Demonstrates minimal understanding of theoretical concepts Documentation is

			<ul style="list-style-type: none"> • Documentation is acceptable • Generates acceptable hypotheses 		<p>weak</p> <ul style="list-style-type: none"> • No statement of hypotheses
2. Mastery of methods of inquiry	<ul style="list-style-type: none"> • Design, analysis plan, excellent • Plan for analysis goes beyond the obvious • Acknowledges limitations and critically considers alternatives • Demonstrates regulatory compliance 	<ul style="list-style-type: none"> • Design good questions • Plan for analysis good • Acknowledges some limitations • Considers regulatory compliance 	<ul style="list-style-type: none"> • Design reasonable questions • Plan for analysis reasonable • acknowledges some limitations • Considers regulatory compliance 	<ul style="list-style-type: none"> • Design inappropriate questions • Confused or ineffective plan for analysis • Lacks anticipation of regulatory compliance requirements 	<ul style="list-style-type: none"> • Design wrong questions • Confused or ineffective plan for analysis • Lacks anticipation of regulatory compliance requirements
3. Originality and potential for contribution to discipline	<ul style="list-style-type: none"> • Exceptional potential for discovery • Greatly extends previous work • Exceptional theoretical or applied significance • Exceptional publication potential 	<ul style="list-style-type: none"> • Good potential for discovery • Builds upon and extends previous work • Reasonable theoretical or applied significance • Good publication potential 	<ul style="list-style-type: none"> • Some potential for discovery • Builds upon previous work • Acceptable theoretical or applied significance • Reasonable publication potential 	<ul style="list-style-type: none"> • Limited potential for discovery • Limited extension of previous published work in the field • Poor theoretical or applied significance • Minimal publication potential 	<ul style="list-style-type: none"> • No potential for discovery • No extension of previous published work in the field • Poor theoretical or applied significance • No publication potential
4. Quality of writing	<ul style="list-style-type: none"> • Writing is of publication quality • No grammatical or spelling errors • Organization is excellent • Style is exemplary 	<ul style="list-style-type: none"> • Writing is good • Some grammatical and spelling errors apparent • Organization is logical • Style is appropriate to discipline 	<ul style="list-style-type: none"> • Writing is acceptable • Numerous grammatical and spelling errors • Organization is logical • Style is appropriate to discipline 	<ul style="list-style-type: none"> • Writing is weak • A lot of grammatical and spelling errors • Organization is poor • Style is not appropriate to discipline 	<ul style="list-style-type: none"> • Writing is weak • Many grammatical and spelling errors • Organization is poor • Style is not appropriate to discipline

6.12 Assessment Rubrics of MPhil Thesis

The Thesis

Assessment Criteria	Excellent	Good	Pass	Fail
1. Originality of thesis	The thesis topic is highly innovative, original, and significant; few or no previous research on the topic.	The thesis topic is novel and significant; some research has been done on the topic.	The thesis topic is acceptable and has some significance; there is already an accumulation of research on the topic.	The thesis topic is outdated, of no significance or has no potential for enriching the topic.
2. Contribution to knowledge	Shows clear evidence of extrapolation to future research in the field; great significance beyond the specific research field; broad and significant local and/or global impact.	Shows some evidence of extrapolation to future research in the field; moderate significance beyond the specific research field; some local and/or global impact.	Shows some evidence of extrapolation to future research in the field; minimal significance beyond the specific research field; minimal local and/or global impact.	Shows no evidence of extrapolation to future research in the field; no significance beyond the specific research field; no local nor global impact.
3. Demonstration of research skills	Vigorous research design, vigorous data collection, excellent data quality; vigorous, creative, and advanced analytical methods; unambiguous data results.	Good research design, data collection, and data quality; accurate and some creative analytical methods; clear data results.	Appropriate research design, data collection, and data quality; acceptable analytical methods; appropriate but sometimes confusing data results.	Weak or flawed research design, data collection, and poor data quality; inappropriate analytical methods; results conflicting and confusing.
4. Presentation, style and use of language	Excellent and focused synthesis of the literature and current research; compelling discussions and interpretation of the results and implications; extremely clear, succinct, and complete conclusion; excellent discussion on limitations and innovative solutions; excellent use of language.	Mostly focused with some fragmentation synthesis of literature and current research; good discussions on the results and their implications; clear and complete conclusion; good discussions on limitations with reasonable solutions; good use of language.	Moderate synthesis of the literature and current research; adequate discussions on the results and minimal implications; adequate conclusion but can be more succinct; minimal discussion on limitations; adequate use of language.	Literature is fragmented and no synthesis with current research; incomplete or inaccurate interpretation of results; no attempt to discuss implications and limitation; biased or poor use of languages.
5. Quality of Writing	Writing is of publication quality; no grammatical or spelling errors; organization is excellent; documentation is excellent.	Writing is good; a few grammatical and spelling errors; organization is logical; documentation is good.	Writing is adequate; some grammatical and spelling errors; organization is acceptable; documentation is adequate.	Writing is weak; a lot of grammatical and spelling errors; organization is poor; documentation is poor.

The Viva Voce Examination

Assessment Criteria	Excellent	Good	Pass	Fail
1. Quality of Presentation	Organization is excellent; communication is excellent; main arguments of the thesis are presented very clearly; visual aids are used highly effectively.	Organization is good; communication is good; main arguments of the thesis are presented clearly; visual aids are used effectively.	Organization and communication are acceptable; main arguments of the thesis are presented but not very clear; visual aids are used passably.	Organization is poor; communication is poor; fails to present the main arguments of the thesis; visual aids are not employed or used poorly.
2. Response to questions	Responses are eloquent; responses are reflective of excellent knowledge in the topic and relevant disciplines / fields.	Responses are complete; responses are reflective of good knowledge in the topic and relevant disciplines / fields.	Responses satisfy questions; responses are reflective of adequate knowledge in the topic and relevant disciplines / fields.	Responses are incomplete or poor; responses are flustered or defensive.

Overall Performance

Assessment Criteria	Pass with No Revision	Pass with Minor Revisions	Pass with Major Revisions	Not Pass (Resubmission allowed)	Fail
1. Mastery of theories and concepts in the field and understanding the interrelationships between it and associated fields/ disciplines as demonstrated in problem statement and literature review	<ul style="list-style-type: none"> Arguments are superior Objectives are well defined Exhibits mature, refined critical thinking skills Reflects mastery of subject matter and associated literature Demonstrates mastery of theoretical concepts Documentation is excellent Generates well-reasoned and well-supported hypotheses 	<ul style="list-style-type: none"> Arguments are coherent and reasonably clear Objectives are clear Demonstrates adequate critical thinking skills Reflects understanding of subject matter and literature Demonstrates understanding of theoretical concepts Documentation is adequate Generates adequate hypotheses 	<ul style="list-style-type: none"> Arguments are largely consistent and acceptable Objectives are mostly clear Demonstrates acceptable critical thinking skills Reflects acceptable level of understanding of subject matter and literature Demonstrates minimal understanding of theoretical concepts Documentation is acceptable 	<ul style="list-style-type: none"> Arguments are sometimes incorrect, incoherent, or flawed Objectives are poorly defined Demonstrates limited critical thinking skills Reflects limited understanding of subject matter and associated literature Demonstrates limited understanding of theoretical concepts Documentation is weak Inadequate statement of hypotheses 	<ul style="list-style-type: none"> Arguments are largely incorrect, incoherent, or flawed Objectives are not defined Demonstrates minimal critical thinking skills Reflects minimal understanding of subject matter and associated literature Demonstrates minimal understanding of theoretical concepts Documentation is weak

			<ul style="list-style-type: none"> Generates acceptable hypotheses 		<ul style="list-style-type: none"> No statement of hypotheses
2. Use of IT and digital technology	<ul style="list-style-type: none"> IT and digital technology is used highly effectively to support and enhance the research 	<ul style="list-style-type: none"> IT and digital technology is used effectively to support and enhance the research 	IT and digital technology is used acceptably to support and enhance the research	<ul style="list-style-type: none"> IT and digital technology is poorly used to support the research 	<ul style="list-style-type: none"> IT and digital technology is not utilized to support the research
3. Quality of writing	<ul style="list-style-type: none"> Writing is of publication quality No grammatical or spelling errors Organization is excellent Style is exemplary 	<ul style="list-style-type: none"> Writing is good Some grammatical and spelling errors apparent Organization is logical Style is appropriate to discipline 	<ul style="list-style-type: none"> Writing is acceptable Numerous grammatical and spelling errors Organization is logical Style is appropriate to discipline 	<ul style="list-style-type: none"> Writing is weak A lot of grammatical and spelling errors Organization is poor Style is not appropriate to discipline 	<ul style="list-style-type: none"> Writing is weak Many grammatical and spelling errors Organization is poor Style is not appropriate to discipline

6.13 Thesis Assessment Appeal

6.13.1 Grounds for Appeal

Candidates may appeal on one or more of the following grounds:

- (a) That a candidate's performance at the oral examination was affected by mitigating circumstances such as illness of which the examiners were not aware when their decision was taken and that this produced an unfair result.
- (b) That there is evidence of prejudice, bias, or inadequate assessment on the part of the examiners such that the result of the examination should not stand.
- (c) That there were procedural irregularities in the conduct of the examination (including any instance of administrative error) of such a nature as to cause reasonable doubt as to whether the result of the examination would be the same if they had not occurred.

6.13.2 Procedure for Making an Appeal

An appeal must be submitted in writing by the candidate with supporting evidence (including medical certification for paragraph 6.13.1a above) within one month of the date of notification of the result of the examination by the Graduate School.

6.13.3 Appeals must be submitted to the Director of Graduate School.

6.13.4 There is no set format for an appeal submission, but candidates should note the following:

- (a) The burden is on the candidate to prove their case, i.e. to satisfy the Graduate Studies Committee on the balance of probabilities that the complaint should be upheld. The Graduate Studies Committee also needs to be satisfied that the error or defect is such that the examiners' decision should not be allowed to stand. 'On the balance of probabilities' means that it is more likely than not that the candidate's account of events is true or correct.
- (b) The grounds of the appeal must be set out. These must relate to the grounds in 6.13.1 of this procedure.
- (c) Each ground must be supported by evidence. For the purpose of this procedure, 'evidence' means the facts on which the candidate wishes to rely to support the ground in Section 2 of this procedure. It may take the form of statements by the candidate of what was said, of documents, or of statements or comments by others. This supporting evidence must be sufficiently clear and precise so that, if its truth or accuracy is accepted by the Graduate Studies Committee, it would offer a reasonable prospect of the appeal being allowed.

6.13.5 An appeal application that does not set out the grounds of the appeal or does not provide supporting evidence as described above will not be allowed to proceed to a hearing and will be dismissed.

6.13.6 Decisions by the Graduate Studies Committee

The Graduate Studies Committee shall make one of the following decisions:

- (a) To reject the appeal, in which case the result of the examination stands.
- (b) To request the examiners to reconsider their decision. The examiners shall normally be expected to hold another viva voce examination before reaching a decision as to whether the result should be changed.
- (c) To determine that the original examination be cancelled and that a new examination be conducted. The new examination shall be conducted by examiners who did not

take part in the original examination (except for the Principal Supervisor) and were not involved in the appeal.

6.13.7 The Graduate Studies Committee will provide its decision to the student in writing normally within 10 days upon receiving the appeal application with all supported documents.

Hong Kong Shue Yan University
Progress Report

Student's Progress Report Part I:

This part is to be completed by the Principal Supervisor

Name of Supervisor	
Name of Student	
Student Number	
Review Period	from _____ to (e.g., from September 1, 2018 to December 28, 2019)
Thesis Topic	
How many meetings have been held between you and the student within the review period?	
Estimate the proportion of research work completed: _____ %	
Are you satisfied with the progress of the student? Yes/ No* (if 'No', please specify in the space below) (*Please delete as appropriate)	
Is there anything about the student that you would like to bring to the attention of the Head of Department or the Graduate School?	
Do you recommend the student proceeding to the next phase of dissertation? Yes (PASS)/ Yes, with conditions (INCOMPLETE)/ No (FAIL) (*Please delete as appropriate)	
Recommended procedures (if INCOMPLETE):	

Supervisor's Signature: _____ Date: _____

Student's Signature: _____ Date: _____

Student's Progress Report Part II:
This part is to be completed by the Co-Supervisor

How many meetings have been held between you and the student within the review period?
Are you satisfied with the progress of the student? Yes/ No* (if 'No', please specify in the space below) (*Please delete as appropriate)
Provide a brief comment (4-5 sentence) on student's progress.
Do you recommend the student proceeding to the next phase of dissertation? Yes (PASS)/ Yes, with conditions (INCOMPLETE)/ No (FAIL) (*Please delete as appropriate) Recommended procedures (if INCOMPLETE):

Co-Supervisor's Signature: _____ Date: _____

Student's Signature: _____ Date: _____

Student's Progress Report Part III:
This part is to be completed by student

Name of Student	
Name of Supervisor	
Student Number	
Review Period	From _____ to _____ <i>(e.g., from September 1, 2018 to December 28, 2019)</i>
Thesis Topic	
How many meetings have been held between you and the supervisor within the review period?	
Estimate the proportion of research work completed: _____ %	
Are you satisfied with your progress? Yes/ No (if 'No', please specify in the space below) <i>(*Please delete as appropriate)</i>	
Is there anything about the arrangement of your supervision that you would like to bring to the attention of the Head of Department or the Graduate School?	

Student's Signature: _____ Date: _____

Supervisor's Signature: _____ Date: _____

Hong Kong Shue Yan University
Thesis Assessment Report for MPhil

*This form is to be completed by **each member** of Thesis Assessment Committee and submitted to the Chairperson of Thesis Assessment Committee **4-6 weeks after the viva voce.***

Student Name: _____ Student No.: _____

Programme: _____ Study Mode: Full-time Part-time

Period of Study: _____

Thesis Topic: _____

Part I Comments on the Thesis

<i>Also refer to assessment rubrics</i>	Grades			
	Excellent	Good	Pass	Fail
1. Originality of thesis				
2. Contribution to knowledge				
3. Demonstration of research skills				
4. Presentation, style and use of language				
5. Quality of Writing				
6. Overall				
Other Comments and Recommendations (including suggested changes to the thesis. Submit a separate attachment file if necessary)				

Part II Comments on the Viva Voce Examination

<i>Also refer to assessment rubrics</i>	Grades			
	Excellent	Good	Pass	Fail
1. Quality of Presentation				
2. Response to questions				
3. Overall				
Other Comments (Submit a separate attachment file if necessary)				

Part III Overall Grade *(please tick as appropriate)*

- Pass with no revision required**
- Pass with minor revision**
- Pass with major revision**
- Not Pass (Resubmission is allowed)**
- Fail**

Special Comments:

Confirmed by:

Signature of examiner:

Name of examiner:

(Chairperson / Principal Supervisor /
Other Internal Examiner / External
Examiner*)

Date:

**please delete as appropriate*

Hong Kong Shue Yan University
Thesis Assessment Report for PhD

*This form is to be completed by **each member** of the Thesis Assessment Committee and submitted to the Chairperson of Thesis Assessment Committee **4-6 weeks after the viva voce.***

Student Name: _____ Student No.: _____

Programme: _____ Study Mode: Full-time Part-time

Period of Study: _____

Thesis Topic: _____

Number of thesis submission: First submission Re-submission (*please tick as appropriate*)

Part I Comments on the Thesis

<i>Also refer to assessment rubrics</i>	Grades			
	Excellent	Good	Pass	Fail
7. Mastery of fundamental knowledge in the topic				
8. Ability to critically evaluate the meaning, value, and contribution of published literature in the field				
9. Ability to select and apply the frameworks, concepts, theories or methods appropriate to their question				
10. Imagination and originality of thought				
11. Ability to draw reasoned conclusions from a body of knowledge				
12. Quality of writing				
Other Comments and Recommendations (Including suggested changes to the thesis. Submit a separate attachment file if necessary)				

Part II Comments on the Viva Voce Examination

<i>Also refer to assessment rubrics</i>	Grades			
	Excellent	Good	Pass	Fail
4. Quality of Presentation				
5. Cognitive Skills				
6. Responses to Questions				
Other Comments (Submit a separate attachment file if necessary)				

Part III Overall Grade *(please tick as appropriate)*

- Grade IA: Pass with no revision required**
- Grade IB: Pass with minor revision**
- Grade IC: Pass with major revision**
- Grade II: Not Pass (Resubmission is allowed)**
- Grade III: Fail**

Special Comments

Confirmed by:

Signature of examiner:

Name of examiner:

(Chairperson / Principal Supervisor / Other
Internal Examiner / External Examiner*)

Date:

**please delete as appropriate*

Basic Checklist

- Backup copy or multiple files of the thesis or dissertation
- Type, clear and dark
- Fonts embedded

Margins:

- Abstract: 1 ½" top margin
- 1½" top and left
- 1" bottom and right
- Chapter Headings: 2" top margin
- Bibliography 1st page 2" top margin
- Appendices reduced (if necessary) to meet margin requirements

Pagination:

- Page number placement consistent throughout paper
- All pages checked and in proper order; no duplicate page numbers; no missing pages

Organization of Text:

- Abstract
- Title Page — Original, signed page to The Graduate School
- Copyright page for each copy (optional)
- Dedication (optional)
- Approval Page — Original, signed page to The Graduate School
- Acknowledgments page (optional)
- Preface (optional)
- Table of Contents
- List of Tables (optional)
- List of Figures (optional)
- Text
- References or Bibliography
- Appendices (optional)

Appendix 5. Sample of Title Page

TITLE OF THESIS (DISSERTATION), IF OVER

ONE LINE IN LENGTH, IS PLACED

IN AN INVERTED PYRAMID

by

Name of author (as it appears on identification documents)

A Thesis (Dissertation) Submitted to
The Graduate School at
Hong Kong Shue Yan University
in Partial Fulfillment
of the Requirements for the Degree
(Name of degree, ie. Doctor of Philosophy or Master of Philosophy)

Hong Kong
2016
(Year of Graduation)

Approved by

Thesis Assessment Committee Chair

Appendix 6. Sample of Approval Page

APPROVAL PAGE

This thesis (dissertation) written by NAME OF AUTHOR has been approved by the following committee at Hong Kong Shue Yan University.

Thesis Assessment Committee Chair. _____

Committee Members. _____

(Number of lines equals the number of persons on the thesis or dissertation committee.)

Date of Acceptance by Committee

Date of Final Oral Examination

Appendix 7. Sample of Table of Content

TABLE OF CONTENTS

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LIST OF TABLES

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LIST OF FIGURES

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CHAPTER I

INTRODUCTION

The detailed instructions in the “Research Manual” are intended to lend a uniform appearance to theses and dissertations at Hong Kong Shue Yan University and must be followed by all disciplines. While it is recognized that papers from divergent areas of study will exhibit differences, certain requirements of format are necessary.

Without exception, no thesis will be accepted by the Graduate School until it is in its final form. Students should acquire the guidelines early in the preparation of the document so that they may implement the required format as they begin to write.

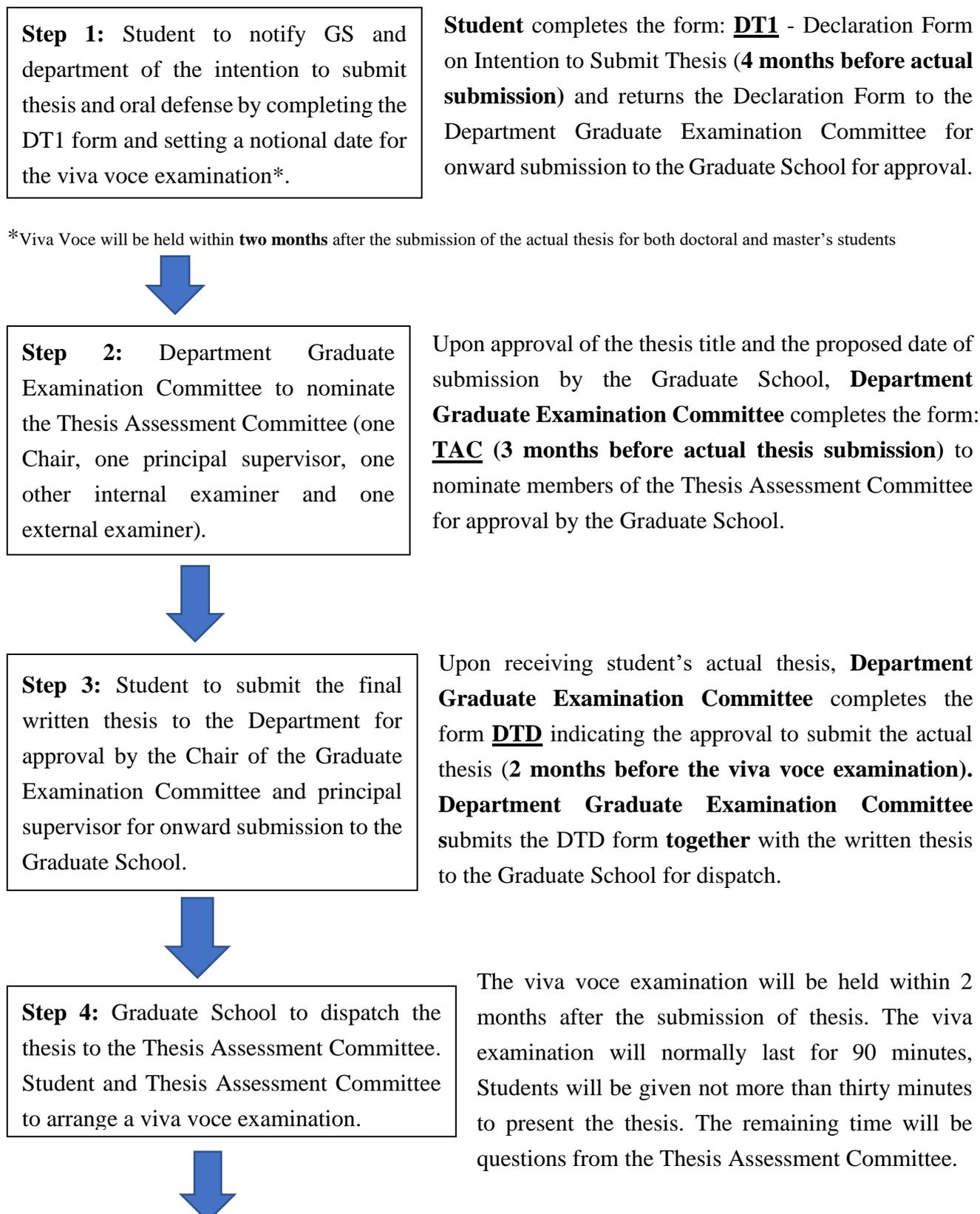
Generally, a thesis consists of four major parts: the abstract, the preliminary material, the text, and the reference materials. Some papers also include appendices. In the Research Manual, pages four through ten provide specific information regarding the formatting requirements of each of the four major parts as well as the minor parts found within them.

The approval copy of the thesis must be submitted to the Graduate School by the deadline date for the semester in which the student plans to graduate. This date is posted on the Graduate School website. Students who would like to submit an approval

copy in advance of this date are welcome to do so. The approval copy of the thesis does not need to be signed/approved by the thesis committee at the time of submission. The approval copy of the dissertation must include the submission of the original, signed title page and approval page. All approval copies include the major and minor parts specified in the Research Manual.

The approval copy should be uploaded no later than 5:00 pm on the deadline date. Doctoral students must also submit the original signed title page and approval page by this deadline.

Timeline of thesis submission and oral examination



Step 5: Examiners are normally given a period of **4-6 weeks after viva exam** to write an assessment report for the thesis.

Each examiner completes the thesis assessment report (**EXT**) and submits to **Chair of the Thesis Assessment Committee 4-6 weeks after the viva voce**. The **Chair** will also submit a summary report (**TACS**) plus all examiners' reports to the Graduate Examination Committee 4-6 weeks after the viva voce exam.



Step 6: Upon receipt of all Examiners' reports from the Thesis Assessment Committee, the **Chair of the Graduate Examination Committee** to decide on a final assessment within **2 weeks** and make recommendation (**TACS**) for approval from the Graduate School.



Step 7: After receiving the TACS from the Graduate Examination Committee, **the Graduate School** to approve the final assessment and to officially notify the results to the student.



Step 7A: Grade IA, **PASS with no revision**

Step 7B: Grade IB, PASS with minor revision
Principal Supervisor inspected the revised the thesis and **submitted to the Graduate Examination Committee for approval within 1 month** from the date of the official notification of the result and within the student's prescribed maximum study period.

Step 7C: Grade IC, Pass with major revision
Student re-write and re-submit the thesis to the satisfaction of the **Thesis Assessment Committee and approved by the Graduate Examination Committee within 6 months** from the date of official notification of the results and within the student's prescribed maximal study period.

Step 7D: Grade 1I, NOT Pass, resubmission is allowed
Re-examination of the revised and resubmitted thesis to the satisfaction of the Thesis Assessment Committee (Repeat Steps 1 to 6) **within 12 months** from official result notification and within the student's prescribed maximal study period.

Step 7E: Grade III, FAIL, not allowed to resubmit
Student to discontinue



Step 8: Graduate School to issue a letter confirming the student has completed all degree requirements and to inform the Registry.

Notes on How to Prepare for a Viva Voce Examination

In the presentation, the student must be able to:

- Clearly state the original motivation, aims and objectives of the work.
- Summarise their main (original) achievements and conclusions, and actual or expected impacts.
- Set work in context. This means knowing about, and being able to explain, other related work and how this connects with the thesis.
- Detail the main activities of the project.

In the Q & A section, the student must be able to:

- Defend the ENTIRE contents of thesis.
- Answer questions in wider areas, usually (but not necessarily) on work related to the thesis.
- Answer basic as well as more detailed questions.
- Discuss possible lines of future work.

Reminders for students:

- Prepare for the viva by re-reading your thesis (and relevant, key papers, books, *etc.*) beforehand, rather like revising for a written exam. If necessary, you could request your supervisor to run a “dummy” viva.
- Listen carefully to questions and think before giving an answer.
- It is often appropriate to give short answer first and then ask the examiners if they would like more details.
- Don't be afraid to stand your ground over a point if you can justify your case. Remember that you know about the thesis better than anybody at the viva voce examination.