

SENATE STANDING ORDERS ON HIGHER DEGREES

This document is divided into five sections as follow:

- A. Standing Orders for degrees of PhD and Master by research
- B. Standing Orders for degrees of Master by a combination of coursework and research
- C. Standing Orders for senior doctorates
- D. Standing Orders for members of staff, and members of Council supplicating for higher degrees
- E. Guidelines for classified or sensitive research work

This document replaces all previous Standing Orders on higher degrees.

Introduction

The following Standing Orders have been approved by the Senate for the better carrying out of its rules for higher degrees. Where a Faculty Board is of the opinion that there is good reason to deviate from the Standing Orders in a particular case, it may do so only with the approval of the Senate. Faculties are required to have Standing Orders and/or procedures documents which specify any particular provisions they may have which further stipulate duties, rights and responsibilities in terms of these Senate Standing Orders.

Delegation of Senate's powers

The Senate has delegated all of its functions in respect of higher degrees to Boards of Faculties, to the University Graduate Studies Committee, the Faculty Graduate Studies Committees, or Deans or Assistant Deans responsible for Graduate Studies or Chairpersons or Deputy Chairpersons of Faculty Graduate Studies Committees as set out below, except where it is specifically stated otherwise. These powers may not be delegated further, except where so decided by Senate itself.

Use of terms

“School”: Unless indicated otherwise, “School” should be taken to include departments or divisions where these exist within Schools.

“Faculty Graduate Studies Committee”: This is a Faculty Committee which deals with all matters pertaining to postgraduate studies.

“University Graduate Studies Committee”: This is a Senate Committee.

“Faculty Registrar”: where the term “Faculty Registrar” is used, the work may be carried out by a member of the Faculty Registrar’s staff, but accountability will rest with the Faculty Registrar.

“Thesis” is the term reserved for an extended piece of writing based on research that makes an original and significant contribution to knowledge, that may incorporate creative work or publications integral to the overall argument, and is submitted in fulfilment of the requirements for the Doctor of Philosophy qualification.

“Dissertation” is the term reserved for a Master’s qualification by research, which is an extended piece of written work, which may incorporate creative work or publications.

“Research report” is the term reserved for the written document which forms the research component of a Master’s qualification by coursework and research, and which may include creative work or publications.

“Senior Doctorate”: A significant body of work that makes a distinguished contribution to the advancement of knowledge in a field is required for the award of a senior doctorate.

“The Supervisor” is the person who is principally responsible for the supervision of the student, and is responsible for 50% or more of the supervision.

“The Co-Supervisor” is the person who is responsible for more than 10%, and 50% or less of the supervision of a student.

“Postgraduate Co-ordinator” is the person appointed by the Head of School who is responsible for postgraduate matters at school level.

Disputes and grievances

Any disputes or grievances that arise as a result of the application of, or failure to apply, the provisions of these Standing Orders should be managed within the University's existing appeals and grievance processes. The principles that govern these include the right to appeal decisions, and the right to make use of the general grievance procedure. Problems should always be resolved as close to the source as possible. Copies of the grievance procedure are available from Faculties, or from the central administration.

Responsible person

Throughout this document, the term "Head of School" may also indicate a person designated by the Head of School to discharge any of his/her functions. This may be the Postgraduate Co-ordinator or another person designated by the Head of School. It should however be noted that while the Head of School may delegate the performance of a function or responsibility, he/she remains accountable...

A. STANDING ORDERS FOR THE DEGREES OF PhD AND MASTER BY RESEARCH

A.1 Application

Anyone who wishes to be a candidate for a PhD or a Master's degree must submit a completed application form before the prescribed date to the Student Enrolment Centre (SEnC). The line of research and title of the proposed thesis may be proposed provided that, on the recommendation of the Supervisor, changes in the title and/or line of research may be submitted for approval at a later stage.

The date prescribed for applications to be submitted should be set by the University, and made available in SEnC. Candidates may register only during the prescribed periods.

A.2 The admission of candidates

Admission shall be subject to the provision of adequate supervision and facilities as set out below, and provided that the requirement of supervision shall be subject to the rules of any particular degree. Heads, or Postgraduate Co-ordinators of Schools or formally approved academic divisions or programmes, must recommend appointment of Supervisor(s) and stipulate clearly any special requirements.

A Board of Faculty, the Faculty Graduate Studies Committee, or the Chairperson of the Faculty Graduate Studies Committee acting on his or her own, may decide on the recommendation of a Head of School or Postgraduate Co-ordinator of a School (not simply a Supervisor) whether or not to admit a person for a research degree. These recommendations may include conditions (such as, for example, formal attendance at a course in methodology) if an assessment of the candidate's background by the Postgraduate Co-ordinator (in consultation with the proposed Supervisor) indicates this to be necessary.

Such person must be eligible not only in terms of the rules for the degree, but in terms of such formal minimum requirements, if any, as laid down by the Faculty Board. The Boards of Faculties, or Faculty Graduate Studies Committees, or Chairpersons of Faculty Graduate Studies Committees, may take decisions on applicants in terms of section 40 of the University of the Witwatersrand Statute, which has replaced the provisions of sections 10A(a), 10A(b)(i) and (ii) of the Universities Act. The provisions of this section enable admission of candidates who are not normally qualified for admission, provided they have the appropriate received prior learning and experience, and their admission has been approved by the Faculty Graduate Studies Committee.

The person must have some idea of the outline of his or her proposed field of work. The applicant therefore need only specify his or her proposed field of study at this stage.

Care should be exercised at this stage not to admit automatically a person who simply has the formal paper qualifications. It is the University's belief that initial phase of registration when the research proposal is being prepared are crucial to the success or failure of the candidate.

Under most circumstances, a Supervisor should be careful to accept only those students who wish to work within his or her fields of experience and competence. There is no obligation on the part of the University to accept students whose research interests are not compatible with available expertise.

The Head of School or Postgraduate Co-ordinator should screen the applicant carefully as to his or her competence to submit his or her research proposal within the specified period of no more than twelve months.

The research proposal must be submitted with the endorsement of the Head of School and Supervisor, for approval within no more than twelve months from initial registration (normally 6 months for full-time students and 12 months for part-time students).. If a proposal is not duly approved, registration as a candidate shall be cancelled, unless the Faculty Graduate Studies Committee is satisfied that there are exceptional reasons not to cancel the registration.

The candidate is required to pay the prescribed fees for each year of enrolment

A.3 Provision of adequate supervision and facilities at the University

The Head of School or Postgraduate Co-ordinator shall discuss and carefully consider with the Supervisor-designate the suitability of the topic proposed, and the adequacy of the background and experience of the applicant and Supervisor-designate, as well as their academic qualifications. It should not be assumed that, because he or she has the requisite paper qualifications, an applicant shall automatically be admitted for a higher degree, nor that a member of staff be considered able to supervise a specific topic.

The Head of School or Postgraduate Co-ordinator will consult the Supervisor before formally nominates him or her for appointment as Supervisor by the Faculty Graduate Studies Committee. The Supervisor shall discuss with the candidate the proposed field of study, and shall ensure that the necessary material and facilities are available at the University or, if not, as in the case of equipment, that access to the required material, facilities and appropriate funding be secured.

An applicant should not be accepted for admission unless the University can provide adequate supervision, except where the rules for the University make provision for candidates to proceed without supervision, and where the Faculty Graduate Studies so decides in a particular case.

Supervision by a member of staff of another university or other structure should be exceptional. If the Supervisor-designate is not a member of the University staff, a member of the full-time staff must be appointed as a Co-Supervisor.

The University's policy is that once it has admitted a candidate, it has an obligation to do its utmost to continue to provide supervision for the minimum period of registration for the degree. Should circumstances change, and the University finds itself unable to continue to provide supervision, in exceptional cases, it shall attempt to provide supervision from outside the University, with a formal Co-Supervisor from within the University.

The responsibility for the adequate supervision of a candidate rests with the Head of School.

(Refer to **A.11**)

A.4 Registration and re-registration dates (see A.16)

Faculties will determine the date of registration on which postgraduate students in their Faculty will register. Such dates must be within the University-defined registration periods. A student, who is permitted to register after the date set by the Faculty, and before the end of the University-defined registration period, may be required to pay a late registration fee at the discretion of the Dean of the relevant Faculty. Antedating of a candidate's registration shall not be permitted.

A.5 Definition of full-time candidate

A full-time candidate is defined as one of the following:

A.5.1 One who is available to attend and participate in the Graduate Programme of the Faculty in which he or she is registered;

A.5.2 One who is employed by and has obligations to a structure recognised by the University as adequate for purposes of the candidate's research, provided that the candidate can produce acceptable certification from his or her employer that his or her time will be fully devoted to his or her approved research or the Graduate Programme of the School. Such candidate may be required by the Head of School to meet additional requirements, including participation in the work of the School.

Note: A full-time member of staff may not be registered as a full-time candidate for a higher degree, except with the permission of the Head of School who will need to satisfy the Faculty Graduate Studies Committee that adequate arrangements have been made for the fulfilment of the duties of the candidate concerned.

A candidate who does not fulfil the definition of a full-time candidate, as defined above, will be deemed to be a part-time candidate.

A.6. Approval of Research Proposal ¹

The Faculty Graduate Studies Committee or a panel, formally appointed by the Faculty Graduate Studies Committee, must consider the recommendations regarding the research proposals of a candidate of the School in order to decide whether to allow his or her registration to continue.

A candidate is required to prepare a carefully written and argued research proposal, as specified in the relevant Faculty Standing Orders. Candidates are advised, amongst other things, to:

- (i) Supply a title (this should be brief and precise, and avoid redundancies and unnecessary phrases such as “a study of”, “an investigation to establish whether”);
- (ii) State concisely and specifically the aims of the research;
- (iii) Give a review of the relevant literature;
- (iv) List the specific problems to be investigated and the specific hypothesis to be tested;
- (v) State the design of the study and the procedures to be adopted for collecting data;
- (vi) Ensure that the proposal complies with the University’s ethics clearance procedures where the study involves humans or animals;
- (vii) Describe the materials, tests or apparatus that will be used;
- (viii) Describe the methods that will be used to assess, analyse and process data;
- (ix) Set out a work plan, with dates and budget if necessary;
- (x) Give a brief outline of the proposed thesis to give a clear indication of the way in which the material will be arranged.

Work submitted for a previous degree may not contribute in more than a minor way to the material for the degree under consideration.

In consultation with the candidate, Schools should set up procedures, consistent with their resource capacity, for drawing up the research proposal. The provision may be made by Faculties or Schools for the candidate to defend his or her proposal in a seminar before members of the Faculty or School.

Proposals may be referred for revision and/or resubmission.

A.7 Ethics and Bio-safety Clearance

If a research student wishes to carry out research of any kind on human or animal subjects, the University has to scrutinise proposals on ethical and biosafety grounds. Research must comply with the requirements for ethics and biosafety clearance which is available on the University Research Website which are constantly updated.

A.8 Change in title or lines of research

The Faculty Board, Faculty Graduate Studies Committee or panel has the power to approve changes in title, fields of study or lines of research. A change in title, where a change in content of the thesis or dissertation is not involved, can be approved by the Chairperson of the Faculty Committee, but this should be reported to that Committee.

A.9 Attendance

A candidate for the degree of Master or PhD must maintain regular contact with his or her Supervisor.

The period of attendance and activities in such period shall be determined by the Supervisor, taking into consideration the particular situation of the candidate and/or field of study concerned.

Candidates may be required to participate in the Graduate Programme of the School in which they are registered.

¹ Proposal can also be referred to as a “Protocol”.

A.10 Recognition of outside institutions

Where the rules make provision for this, outside structures may be recognised by the Faculty Board for the purpose of the research of an individual candidate.

A.11 Appointment of Supervisors

The appointment of a Supervisor is the responsibility of the Faculty Committee or panel, and not of its Chairperson, nor of a Head of School. The Head of a School recommends a Supervisor for appointment. Where a Supervisor is appointed by a panel, the appointment must be reported to the next meeting of the Faculty Graduate Studies Committee for information. Where necessary, in a study of an inter-disciplinary nature, more than one Supervisor may be appointed. Reasons for nominating a Supervisor must be motivated by the Head of School. The Head of School is responsible for monitoring the number of higher degrees students being supervised by an individual staff member to ensure adequate supervision of candidates and should take this into consideration when recommending a person for appointment as a Supervisor.

A panel or a Chairperson of a Faculty Graduate Studies Committee can appoint a Supervisor for an applicant for a research proposal on a temporary basis, subject to approval by the Graduate Studies Committee at its next meeting. (See also **A.3** above).

Except in exceptional circumstances, as approved by the Faculty Graduate Studies Committee, The Supervisor should have successfully completed a degree at an equivalent level. The Head of School and Postgraduate Co-ordinator must be satisfied that the Supervisor has the appropriate expertise and training to supervise postgraduate students.

A.12 Duties of Supervisor

It is the responsibility of the Head of School or Postgraduate Co-ordinator ensure that a Supervisor is familiar with the University's and Faculty's Standing Orders on higher degrees. These duties are available from the Faculty Registrar. A copy of these duties (and/or relevant code of responsibility/conduct) along with the appropriate Style Guide, the Policy on Plagiarism and the University Grievance Procedure for Postgraduate Students and the Statement of Principles must be made available to students at registration, and should form the basis of a negotiation between the Supervisor/s and the candidate as to how they will work together.

The Statement of Principles must be discussed with the student and it may be changed by mutual agreement. It must be signed by the Supervisor(s) and the student at the time of submission of the research proposal.

The duties of the Supervisor shall be:

A.12.1 To report, after consultation with the Head of the School or Postgraduate Co-ordinator concerned, any change in the proposed title for the approval of the Faculty Board, Faculty Graduate Studies Committee, panel, or Chairperson of the Faculty Graduate Studies Committee.

A.12.2 To assist the candidate's research in all possible ways The Supervisor should take care to encourage the candidate to use his or her own initiative, and should not watch over every detail of the work. He or she should rather make suggestions wherever necessary, and encourage the candidate to apply them.

A.12.3 Supervision entails both oral advice on the candidate's research, and constructive written comments on drafts of the proposal and on draft chapters. A record of the supervision process must be kept by the Supervisor.

A.12.4 To ensure that the candidate knows the conventional techniques of presentation for a thesis.

A.12.5 To ascertain the cause should the candidate, for any reason, fail to make adequate progress. If the candidate is at fault and does not, after a written warning, make better progress, the Supervisor shall bring the matter to the attention of the Head of School or Postgraduate Co-ordinator. Any further instruction which emanates from this should also be in writing and, if it in turn is not acted on by the candidate, the matter should be brought to the attention of the Faculty Graduate Studies Committee which may at that stage instruct cancellation of registration. It is essential that a candidate be given the opportunity to put forward his or her case at all stages of this process before cancellation is decided upon by the Committee. In cases where there is more than one Supervisor, the Supervisors shall consult one another on the progress of the candidate at regular intervals.

A.12.6 To report once a year to the Faculty Graduate Studies Committee, or its Chairperson, on the progress of the candidate's work. The dates will be decided by each Committee and the basis of the Supervisor's report will be a yearly report from the candidate. A very brief report will suffice if the candidate's progress is satisfactory. The report must be an open one and signed by the Supervisor, the candidate and the Head of School or Postgraduate Co-ordinator. The form should contain provision for comments by the candidate. The Chairperson may draw the Committee's attention to particular cases and the Committee may call for more frequent reports in a particular case. The Faculty Registrar is required to monitor the submission of reports and to ensure that copies of these reports are filed on the student's file.

A.12.7 To draw the attention of the candidate to the minimum and maximum periods of study for the degree. (See also **A.15** below.)

A.12.8 To nominate examiners, in consultation with the Head of School, a minimum of three months prior to the submission of the thesis. At this point, the title of the thesis must be confirmed.

A.12.9 To inform the candidate of any planned absences.

A.13 Supervision of one candidate by another

A.13.1 Normally, a candidate for a higher degree who is appointed to supervise another candidate for a higher degree will be a member of the staff of the University.

A.13.2 A member of staff, who is registered for a higher degree, is permitted to supervise another candidate at a lower level, or co-supervise a candidate at an equivalent level, provided that the Supervisor holds a degree at the equivalent level.

A.13.3 Two candidates at the same level may not supervise or co-supervise each other.

A. 14 Responsibilities of the candidate

A.14.1 The Statement of Principles must be discussed with the Supervisor(s), and must be signed by the student and the Supervisor(s), and submitted together with the research proposal to the Faculty Office.

A.14.2 The candidate should meet as frequently as agreed with the Supervisor, and shall, at these meetings, present a detailed account, in writing, of his or her progress, in a manner as is acceptable to the field of study being pursued.

A.14.3 The candidate shall take into account all written and oral advice given by the Supervisor, and provision should be allowed for adequate, mutually respectful discussion around these recommendations.

A.14.4 The candidate must ensure that the appropriate literature directly pertinent to his or her chosen topic has been identified and consulted. The candidate has a reasonable expectation that the Supervisor keep abreast with developments in his or her own area of expertise.

A.14.5 Once the focus/area of research is approved, the candidate is responsible for ensuring that the research remains focused on the agreed areas or, where substantive changes are necessary, that these are agreed by the candidate and Supervisor, and reported appropriately to the Faculty Graduate Studies Committee. It should be noted that there should be appropriate consultation with the Supervisor with respect to changes, especially where these may lead the work outside of the field of expertise of the Supervisor.

A.14.6 The candidate must obtain the agreement of the Supervisor for any absences

A.14.7 The candidate must produce a written document for examination that meets the requirements of the degree being pursued.

A.14.8 The candidate must make adequate progress to enable the successful completion of the degree within the stipulated time frame.

A.14.9 The candidate must bring problems in the supervision relationship to the attention of the Supervisor in the first instance and, if such problems are not resolved, to bring the matter to the attention of the Head of School or Postgraduate Co-ordinator.

A.14.10 The candidate must comply with all administrative processes, including making the necessary declarations with respect to the work complying with the policies on ethics, plagiarism and intellectual property.

A.14.11 The candidate shall submit a progress report to the Faculty annually. The Faculty Registrar is required to monitor the submission of reports and to ensure that copies of these reports are filed on the student's file.

A.15.1 Research extensions of less than one year

At least SIX WEEKS prior to the expiry of the year of registration, a research student, regardless of whether s/he is completing a research report, a dissertation or a thesis is allowed to apply to the Faculty Graduate Studies Committee for a ONE month extension. Such application is permitted only once during a qualification and must be supported by a written motivation from the Supervisor and the Head of School. If the function of reviewing such a request for an extension is delegated on an ad hoc basis by the Faculty Graduate Studies Committee to an entity or person within the Faculty, all decisions must be noted at the next formal meeting of the Faculty Graduate Studies Committee.

If the student's application is successful, s/he is not liable for payment of a fee for this one-month extension. If the research student is unable to complete the research product in the specified time, s/he will be registered for the entire academic year (N+1) and will be liable for payment of all associated fees, unless s/he completes the research product by the end of June in that academic year (N+1), at which time a 50% fee rebate will be granted to the student. Such a rebate will also apply to the tuition fee for international students.

N.B: *Research extensions of less than one year do not apply to coursework components of study for higher degrees.*

A. 15.2 Minimum (n) and maximum period of study (n + 2)

The minimum period of study (n) for each higher degree is set out in the rules for degrees. The maximum period of study for higher degrees shall not normally extend beyond two years after (n). A student who has completed (n) + 2 years of study and wishes to continue his/her studies must submit an application for extension of candidature to the Faculty Graduate Studies Committee. The Faculty Graduate Studies Committee will consider the matter and may only grant an extension of one year if there are compelling reasons to do so and will impose escalated fees of 20% for the additional year of study.

Students who are registered for masters and PhD degrees will not be allowed to extend their registration beyond (n) + 3.

A.16 Registration

A.16.1 Lapse of Registration

From the second year of registration to completion, candidates are required to register in the specified period for each subsequent year of registration. It is the responsibility of the Faculty Registrar to ensure that all candidates are duly registered, and to report unregistered candidates to the Head of School or Postgraduate Co-ordinator. The Head of School or Co-ordinator(s) shall then investigate, through the Supervisors, the reasons for non-registration. Any candidate not registered by the end of June, provided that they are in good standing, will be assumed to have allowed their registration to lapse and will be required to reapply for candidature. The years during which the registration has lapsed are considered part of the formal time allowed for candidature.

A.16.2 Abeyance

A candidate who does not wish to register in a particular year for some good or sufficient reason may apply to the Faculty Graduate Studies Committee for permission to have his or her registration put into abeyance for a defined period. This defined period may not exceed two years. Permission for abeyance should be the exception and not the norm, and may also be granted by the Chairperson of the Faculty Graduate Studies Committee, provided that the decision is reported to the Faculty Graduate Studies Committee. Such permission may not be given for more than a total of two years during the complete period of registration.

During such period of abeyance the candidate will not be required to pay fees and will not receive supervision or other services from the University.

No year of registration can be put into abeyance retrospectively.

A.17 Previously published work

Unsupervised work published previously cannot be accepted in lieu of research pursued under the guidance of a Supervisor for the award of a higher degree other than a senior doctorate as defined in the note for **G4.11.7**.

A.18 Publication of work

A candidate for a higher degree is encouraged to publish work which he or she is pursuing for a higher degree, and he or she should acknowledge in the publication that such work is being conducted towards a degree at the University of the Witwatersrand, Johannesburg.

A.19 Language other than English

A candidate shall present his or her thesis in English, but may present it in a language other than English provided that all of the following conditions are met:

A.19.1 The Supervisor and the Head of School so recommend.

A.19.2 An English translation of the title of the thesis, as well as the abstract is submitted.

A.19.3 The Chairperson of the Faculty Graduate Studies Committee was advised, at the time of application for admission, that the candidate intended submitting his or her thesis in a language other than English.

A.19.4 The Chairperson of the Faculty Graduate Studies Committee is satisfied that examiners can be found, and that facilities exist for the examiners' reports to be translated into English. The relevant Faculty will bear the cost of the translation of the examiners' reports.

A.20 Submission of thesis

When the thesis is lodged in the Faculty office, the Faculty Registrar will give the candidate a receipt. The Faculty Registrar will also enter the submission date on the appropriate student system, and will track timeous completion of the examination process.

All theses that are submitted must be accompanied by a Supervisor's report.

The Supervisor's report is not an examiner's report. It will be used by the Faculty Graduate Studies Committee for the quality assurance of supervision, and for insight into the relationship between the Supervisor's assessment and that of the examiners. This report will not be seen by the examiners, but it will be given to the student along with the examiners' reports, once the examination process is complete.

Supervisors should report on the supervision process.

- The Supervisor should comment on the supervision process (frequency of meetings, any difficulties in the relationship, time frames, number of drafts, etc.)
- There should be an assessment of the student's ability to work independently at the different stages of the project: selection of the topic, the literature review, data collection and data analysis.
- The Supervisor should report on the conferences attended by the student and the student's publications.
- In the case of joint publications, there should be a clear statement of what work was done by each of the authors of each joint publication included in the dissertation or thesis.
- The Supervisor should draw the Faculty's attention to any personal difficulties experienced by the student (death in the family, illness etc).

Supervisors should briefly assess the quality of the dissertation or thesis. This assessment should include:

- An assessment on the quality of the language and presentation.
- An assessment of the contribution that the research makes to knowledge in the field.
- An assessment of the standard of the work.



File: T4gen

**FINAL SUBMISSION OF THESIS, DISSERTATION OR RESEARCH REPORT/PROJECT
(Bound and Electronic Copies)**

Faculty of _____

School of _____

Submission of M_____ Dissertation or M_____ Research/ Project Report or PhD Thesis (*Note: This form should only be completed at final submission of dissertation or research/project or thesis*)

Payment and submission are for submissions which have research weighting of 50% or more - so reports where the weighting in relation to the rest of the course work is less than 50% do not have to submit the document.

PLEASE WRITE CLEARLY IN BLOCK LETTERS (If completing form by hand)

1. Name (in full): _____

2. Person Number: _____

3. Present mailing address: _____

Postal code: _____ Fax: _____

E-mail: _____ Cell: _____

Home tel: _____ Work tel: _____

4. If you are likely to move in the next 6 – 12 months please provide the mailing address and effective date of a change in address

_____ Effective date: _____

Contact telephone numbers: _____

5. I hereby submit my M_____ dissertation or M_____ research/ project report or PhD thesis.
(Delete whichever is NOT applicable)

6. Number of unbound copies: _____
(Ensure that you have signed and dated all copies)

“Number of CDs: _____ (**Please note:** an electronic version must be supported by a copy on CD for submission onto the Electronic Theses and Dissertation System (ETD): http://www.wits.ac.za/library/electronic-theses-and-dissertations-etd/5/electronic_theses_and_dissertations_etd.html. A payment of **R160** must be made at the Cashiers Office into the account code: 001.152.4221103.5122609, alternatively payment can be made at First National Bank, Braamfontein branch, account number 51360056499, branch code 251905, swift code: firmzajja950. A copy of the payment receipt must be submitted to the faculty with the thesis/dissertation “

(Note:

1. *Only abstracts of awards with 50% or more as a research component must be submitted for uploading onto the ETD system. Please check with your Faculty Office if this applies to your submission*
2. *All submissions will be uploaded onto the ETD system immediately upon the payment of the R160 (CD should be clearly labelled with your name, person number, title of thesis and software package. The ETD system supports PDF only - please enquire at the University Library (Education and Training Division): (011) 717 1954 (tel) or (011) 717 1909 (fax) for assistance in converting your dissertation or research/project report or thesis if necessary)*

7. I declare that:

I have checked all copies of my dissertation or research/ project report or thesis and no pages are missing or poorly reproduced;

All revisions have been completed in accordance with the recommendations of the examiners;

The electronic copy is identical to the printed copy approved by the faculty;

The dissertation or research/project report or thesis complies with the rules relating to abstract and style, copies and formal declaration, duly signed by me, as shown in the General Rules of the University;

Where any document of which I am not the owner is included in my work, I have obtained and attach hereto the written consent of the holder of the intellectual property rights in such a document allowing distribution as specified in 7.7 below;

In the event of copyright permission not being obtainable for visual images or other works, I will not include the full work(s) in my online thesis/dissertation/research report on the ETD system, but undertake to point only to the source (by URL or other means) for such work(s);

I have properly acknowledged all sources; and

I have noted the rules relating to intellectual property and acknowledgement of the award of the programme as shown in the General Rules of the University and the University's Intellectual Property Policy. Insofar as I hold intellectual property rights in my dissertation or research/project report or thesis, and to that extent only, I agree that the University and its agents may archive and make accessible to the public, upon such conditions as the University may determine, my dissertation or research/project report or thesis in its entirety in all forms of media, now or hereafter known.

8. Title of submitted dissertation/research report/thesis:

(Please Note: If, due to unforeseen circumstances, the above title has changed from your previously approved title, no further action can be taken by the Faculty Office until the amendment has been approved by the Faculty.)

8.1 Keywords:

9. I acknowledge that:

My dissertation or research/project report or thesis may be placed in the archive of electronic theses and dissertations. I acknowledge that it may be made electronically available in its entirety on the ETD system

from four months after the date of submission unless permission for further embargo has been approved by the relevant Supervisor and communicated in writing by myself to the University Research Office, Library and Central Records Office

(see General Rule G19 which outlines embargo conditions);

The following files are on this CD *(please specify format):*

The following parts of the work may be released immediately for electronic access worldwide:

(Only if an official embargo has been agreed to in terms of General Rule G19 will your abstract not be made available for the agreed period)

Abstract and key bibliographic data *(i.e. from submission form)*

I acknowledge that I am not entitled to the return of the copies of the dissertation or research/project report or thesis or other work I have submitted for the programme.

10. Did your research involve animal experimentation or the use of human subjects, human tissue or other material, or patient records?

Yes

No

If yes, please certify that clearance was obtained from the relevant, approved, University ethics committee:

Clearance number(s): _____

11. I understand that I will not graduate unless my University fees have been paid in full.
12. I understand that if I am in material breach of any of the rules, terms and conditions governing the submission of a dissertation or research/project report or thesis at the University I may not graduate or it may result in the revocation of the awarded award.
13. The University is not responsible for the safekeeping of the information constituting a dissertation or research/project report or thesis. Should a student use the University's ETD system for the keeping of a dissertation or research/project report or thesis in progress responsibility for the maintenance, security and back-up of such work lies with the student. The student absolves the University of any liability whatsoever for any loss/damage to a dissertation or research/project report or thesis and/or information contained in them howsoever it occurs. The student indemnifies and hold the University harmless against any claims or liability whatsoever for any loss or damage to a dissertation or research/project report or thesis and information gathered for that purpose or contained in any dissertation or research/project report or theses howsoever it occurs.

14. Name of supervisor: _____

Discipline _____

School _____

Signature _____

Name of second supervisor (if more than one): _____

Discipline _____

School _____

Signature _____

14.1 The candidate must attach an original "Certificate To Accompany Higher Programmes Research Report" from his/her supervisor(s).

15. Signature of candidate: _____

Date: _____

FOR FACULTY OFFICE USE

- Retain one unbound copy**
- Field of study and biographical information confirmed
- Two unbound final, corrected copies, as well as final, corrected copy in electronic format, of dissertation or research/project report or thesis submitted and forwarded to Central Records Office (refer to section 6)
- An electronic copy of the abstract of the dissertation or research report or thesis and receipt for the ETD payment submitted and forwarded to Central Records Office (refer to section 6)

Note: 1. *Only abstracts of awards with 50% or more as a research component must be submitted for uploading onto the ETD system*

2. Please tick the appropriate box below to indicate the percentage of the research component of the award:

50% or more research

Less than 50% research

- Signed formal declaration submitted (refer to section 7.4) and included as part of dissertation or research/project report or theses
- Written consent of holder of intellectual property rights included in the work attached - *if applicable* (refer to section 7.5)
- Embargo notification attached – *if applicable* (refer to section 9)
- Ethics Committee clearance number indicated - *if applicable* (refer to section 10)
- Original certificate of completion for dissertation or research/project report or thesis from the candidate's supervisor(s) and Head of School attached (see section 14)

- Copy of this submission form and attachments included with copies sent to Central Records Office – for forwarding to Library. **Originals placed on student file.**

Faculty Officer: _____

Date: _____

FOR CENTRAL RECORDS OFFICE USE

- One unbound final, corrected hard copy of dissertation or research/project report or thesis forwarded to Library

- Final corrected copy in electronic format and receipt for ETD payment forwarded to Library

- Copy of this submission form included with dissertation or research/project report or thesis forwarded to Library

Central Records Office: _____

Date: _____

FOR LIBRARY USE

- Electronic version of dissertation or research/project report or thesis abstract activated on ETD

Library ETD Administrator: _____

Date: _____

A.23 Registration after submission of thesis

A candidate who has submitted his or her thesis is required to remain registered until he or she has met all the requirements for the degree. Faculties will not require students to pay additional fees while awaiting the outcome of a higher degree. If the Faculty Graduate Studies Committee or Board of the Faculty decides that substantial revisions to the thesis are required, the candidate will then be liable for a re-examination fee, as per **A.33.3.3** of these Standing Orders. Subject to the approval of the chair of the Faculty Graduate Studies Committee, a candidate may be permitted to register for a further higher degree while awaiting the outcome of the examination for another higher degree.

A.24 Nomination of examiners

Save in exceptional circumstances, the Head of School (in consultation with the Supervisor) shall nominate, for the approval of the Faculty Graduate Studies Committee, at least one internal examiner and at least two external examiners for a thesis for the degree of Doctor of Philosophy, and at least one internal examiner and one external for a dissertation for a degree of Master.

An internal examiner is normally a member of the University staff. An external examiner must not be a member of the University staff and in the case of a PhD should include one person working outside South Africa. Internal and external examiners should not in any way have been involved in the preparation of the work. Nomination of examiners should take place at least six weeks before submission of the thesis or dissertation.

In exceptional circumstance, if the nominated external examiner has to be a member of the University staff, this must be motivated and approved by the Faculty Graduate Studies Committee. The examiners should hold an equivalent degree to the degree being examined unless otherwise motivated to and approved by the Faculty Graduate Studies Committee.

For the degree of Master by research only and the degree of Doctor of Philosophy, the internal examiner of a thesis shall normally be a member of staff of the University and may not be the Supervisor of the candidate. Where a suitable internal examiner cannot be identified within the University, an additional external examiner shall be appointed.

In nominating examiners, the Head of School (in consultation with the Supervisor)) must submit the name, address, present post and CVs of each examiner, together with a brief statement concerning his or her suitability for appointment as an examiner.

For the purposes of these Standing Orders, an internal and an external examiner is defined as a person who has not in any way been involved in the preparation of the work, and who is preferably not a member of the University staff. If the external examiner is a member of the University staff, this must be motivated and approved by the Faculty Graduate Studies Committee.

A.25 Confidentiality of names of examiners (both external and internal)

The names of the examiners should be confidential during the examination process and may only be revealed to the candidate with the acquiescence of the examiner once the final version of the thesis has been submitted to the Faculty and the process has been completed.

(See also **A.42** below for rule concerning confidentiality of examiners' reports.)

A.26 Consultation on the examination process

Examiners shall not consult one another except by permission of the Dean and Chairperson of the Faculty Graduate Studies Committee, usually in response to a request for further information, until the examination process is completed. The Head of School and Chairperson, if they consider that the circumstances are exceptional, may give permission for examiners to confer with one another in writing, provided copies of the correspondence are made available to the Chairperson of the Faculty Graduate Studies Committee. Similarly, examiners and Supervisors and the student may not consult.

A.27 Length of time for examining

Each examiner shall be requested to submit his or her report within six weeks of his or her receiving the thesis/dissertation sent to him or her for examination. Examiners will be requested to notify the Faculty as soon as it becomes apparent to them that they are will be unable to meet this deadline.

A Faculty Graduate Studies Committee may replace an examiner if he or she takes an unduly long time to submit his or her report, and will do so if the delay in submission of the report will affect the completion date of the candidate concerned.

A.28 Honoraria

The rates of honoraria payable to external examiners and external Supervisors are obtainable from the Faculty Offices where appropriate. An honorarium is not paid to an internal examiner who is a member of staff (full- or part-time)

A.29 Travel costs of examiner

In rare cases where a student in, for example, the Wits School of Arts, has to mount a display of his or her work, the University may, with the approval of the Faculty, bear the costs of bringing the examiner to the University.

A.30 Examiner retaining copy of work

An examiner shall normally not be required to return the thesis/dissertation that has been sent to him or her for examination.

A.31 Examiners' reports in languages other than English

If an examiner submits his or her report in a language other than English, the Dean of the Faculty concerned shall arrange to have the report translated into English, with the costs to be borne by the University. (See also **A.19** above.)

A.32 Qualifications of examiner to appear on report

The examiner's report shall reflect the qualifications and post of the examiner.

A.33 Procedure after receipt of examiners' reports

The examiners shall send their reports to the Faculty Registrar only. Examination reports may not be released to the Supervisor or the student until the Faculty Graduate Studies Committee has finalised the recommendations based on an assessment on all the reports.

A.33.1 Reports unanimously in favour of award of degree

The Faculty Registrar will submit the reports to the Chairperson of the Faculty Graduate Studies Committee. The Faculty Board can decide that where the Chairperson considers that all the reports are favourable and that all the examiners recommend the award of the degree, the decision to award the degree can be taken by –

- a) the Board of the Faculty; or
- b) the Faculty Graduate Studies Committee; or
- c) the Executive Committee of the Faculty; or
- d) the Chairperson of the Faculty Graduate Studies Committee; or
- e) the Dean

Irrespective of the mechanism used to make the decision, a report on the decision, together with the name of the candidate, is submitted to the Faculty Graduate Studies Committee. The names of candidates and degrees awarded must be listed for noting by the Faculty Board.

If the Chairperson of the Faculty Graduate Studies Committee is not convinced that all reports are unanimously favourable, he or she must refer them to the Faculty Graduate Studies Committee to decide on which procedure to follow. In these instances, use can be made of *ad hoc* Committees.

In order to expedite matters, the examiners' reports may also be circulated to members of the relevant Committee for approval.

Reports that are unanimously favourable, but require revision, should be corrected to the satisfaction of the Supervisor or the Head of School concerned, as determined by the Dean. Where stipulated by the examiner, revised work will have to be submitted for re-examination before the degree is conferred upon the candidate.

The examiners' reports must be sent by the Faculty Registrar to the Head of School, Postgraduate Co-ordinator and/or the Supervisor to assist the candidate. Upon completion of the corrections, the candidate must submit a report which describes how he or she has addressed the examiner's comments. This report should accompany the final corrected thesis/dissertation and should be submitted to his or her Head of School or Supervisor for approval. The Head of School must advise the Chairperson of the Faculty Graduate Studies Committee that the corrections have been carried out to his or her satisfaction.

A.33.2 Unfavourable reports

A.33.2.1 Where two or more examiners recommend that the thesis/dissertation be rejected outright, then the award of the degree shall not be approved.

The Faculty Graduate Studies Committee (in the case of a degree of Master) and the Board of Faculty (in the case of a PhD) shall nevertheless receive the reports of the examiners and decide against the award of the degree.

If the thesis is not approved, the candidate's candidature shall be terminated and he or she shall not be admitted as a candidate for the same degree within a period of two years from the date of submission of the thesis.

In exceptional circumstances, should serious doubt exist concerning the basis for the recommendations of outright rejection, the matter may be referred to an *ad hoc* Committee. If the recommendation of the *ad hoc* Committee is other than outright rejection, and this recommendation is accepted by the Board of the Faculty, the decision may be acted on once confirmed by the Faculty Graduate Studies Committee.

The *ad hoc* Committee may otherwise follow the procedures under **A.33.3** below.

A.33.2.3 In accordance with **A.33.3.1** of these Standing Orders, the forms or guidelines which are sent to all examiners of higher degree candidates must clearly state that if the examiner chooses to reject the thesis outright, his or her rejection will be taken to mean that in his or her opinion the thesis cannot be accepted for the degree in any form.

A.33.3 Examiners' reports not unanimous in recommending award of degree

A.33.3.1 *Ad hoc* Committee

Where the provisions of **A.33.1** are not applicable, if the examiners are not unanimous in recommending the award of the degree, or if the Chairperson of the Faculty Graduate Studies Committee considers that the examiners' reports are inconclusive, or if the thesis has not been approved for the degree, he or she shall appoint an *ad hoc* Committee to consider the reports in the first instance.

The composition of the *ad hoc* Committee should give due consideration to the need for confidentiality. Such *ad hoc* Committee shall not be empowered to serve as an examining Committee and is not intended to be a Committee of experts, but shall comprise persons of high standing in the University who are accustomed to examining candidates for higher degrees, and to interpreting examiners' reports. If they need expert advice, they may seek it from within or outside the University. Members of the *ad hoc* Committee are not precluded from giving expert advice.

It is the task of the *ad hoc* Committee to assess the evidence and make a recommendation. In an exceptional case this may even take the form of a recommendation that a thesis should not be accepted, even though no examiner has recommended outright rejection; but in such a case it must be clear that the revisions called for would amount virtually to a reconceptualisation or redoing of the work.

A.33.3.2 Procedure for *ad hoc* Committee

A Supervisor and the candidate may be invited to appear before the *ad hoc* Committee to give evidence on the candidate's work, but shall not be present during the subsequent discussion and decision-making. Where appropriate, the *ad hoc* Committee will present the concerns, in a manner appropriate to the case concerned, to the candidate, who will be afforded an opportunity to respond to them.

Where an *ad hoc* Committee recommends revision in the light of the examiners' reports, the *ad hoc* Committee must define carefully what form the revision should take, and what period of time will be allowed for the revision to be done.

It is not policy merely to appoint an additional examiner in a controversial case. An additional examiner may be appointed only in exceptional cases, and then by the body which appointed the original examiners namely, the Faculty Graduate Studies Committee. Reasons for such a decision must be given in the *ad hoc* Committee report.

If an *ad hoc* Committee decides to appoint an assessor, his or her role is not that of an examiner, but of an expert to assess the thesis, as well as to assess the examiners' reports and to advise on the fairness of those reports. The name of the assessor must remain confidential, except when the assessor's comments may assist the candidate in their revisions.

The recommendations of the *ad hoc* Committee shall be submitted to the Chairperson of the Faculty Graduate Studies Committee, who must decide if the recommendations can be proceeded with, or whether they should first be submitted to the Faculty Graduate Studies Committee for approval.

A.33.3.3 Re-examination fee

The *ad hoc* Committee must also make a recommendation in a case where the reports are not unanimous, on whether the thesis will have to be re-examined once the revision has been completed, and whether or not the re-examination fee is to be charged.

A.33.3.4 Procedures to be followed in the case of a candidate being asked to answer orally the criticisms of examiners

Where the rules for a degree make provision for an oral examination, the substance of the examination shall be recorded by a member of the examining body, and lodged with the thesis in the University.

A.33.3.5 Presence of Supervisors and internal examiners when reports discussed

Neither Supervisors nor internal examiners shall be present during the discussion or decision making by the *ad hoc* Committee. They may be present at meetings of the Faculty Graduate Studies Committee, Faculty Board, or other appropriate Committee but may not vote on any matter relating to a thesis they have examined or supervised.

A.33.3.6 Report of *ad hoc* Committee

The report or reports of the *ad hoc* Committee shall include reasons for its recommendations, and shall be made available to the Faculty Graduate Studies Committee at an appropriate time. The decisions of the *ad hoc* Committees must be made available to the Board of the Faculty for noting.

The recommendation of the *ad hoc* Committee shall be submitted to the Chairperson of the Faculty Graduate Studies Committee who must decide if the recommendations can be proceeded with, or whether they should first be submitted to the Faculty Graduate Studies Committee for approval.

A34 Revision

Candidates are entitled to appropriate supervision while revising theses in response to examiners' reports. Revision shall be done within a maximum period of six months, unless application for a further extension is supported by the Faculty Graduate Studies Committee. Faculties will not require students to pay additional fees if revision is completed within three months. Beyond that, candidates will be required to pay all fees. Failure to submit at the end of the period allowed for revision may result in termination of candidature.

A.35 Approval by circulation

In order to avoid undue delays, if the reports of the examiners are unanimously favourable, or if all the examiners recommend the award of the degree subject, at most, to the correction of errors, the Chairperson of the Faculty Graduate Studies Committee may decide on the award of the degree, as in **A.33.1** above,

and circulate the reports, together with his or her recommendation, to the Faculty Graduate Studies Committee. His or her recommendation shall take effect, unless some major objection is raised, if written approval by two-thirds of the membership of the Faculty Graduate Studies Committee is received.

A.36 Submission of Electronic and Hard Copies of a Thesis/Dissertation/Research Report

Two unbound corrected copies of the thesis/dissertation/research report of a successful candidate, together with a secure electronic copy, shall be lodged by the Faculty Registrar in the University Archives before the graduation ceremony at which the degree will be conferred. One of the copies shall remain in the University Archives, and the other in the Library. Candidates are responsible for ensuring that the final copies of their thesis/dissertation/research report contain all the required revisions. Supervisors are expected to check copies before they are submitted to these repositories.

Attention of the candidate must be drawn by the Supervisor to the Intellectual Property Policy of the University, and to the procedure with respect to electronic submission of theses/dissertations/research reports. Candidates are required to complete the necessary documentation in terms of these policies and procedures (see **A.39**).

A.37 The Electronic Thesis and Dissertation (ETD) System

The ETD System enables the University to publish the abstract of the thesis/ dissertation/research report on the University ETD website on submission, at a nominal cost to be determined from time to time. The entire thesis/dissertation/research report is uploaded after a period of four months at no additional cost. The electronic version of the abstract must be submitted on a separate file on the CD containing the thesis/dissertation/ research report. The CD must be clearly labelled with the student's name, student number, title of thesis/ dissertation/research report and software package. The ETD system supports PDF only. Students should enquire at the University Library (Education and Training Division) for assistance in converting their dissertation/research report/thesis if necessary.

For qualifications with 50% or more, as a research component the uploading of the abstract is mandatory, the final submission form (see Appendix 1) must be completed, and the fee will apply.

For higher degrees where the research component is less than 50%, hard and electronic copies of the thesis/dissertation/research report will continue to be sent to the University Archives as described above. In this case the fee will not apply but the final submission form must be completed.

Only if an official embargo has been agreed to in terms of the General Rules and A.39 will an abstract and thesis/dissertation/research report not be posted on the ETD website.

A.38 Confidentiality of examiners' reports

Provided that the examiners have acquiesced to the release of their names and their examination reports, every candidate is entitled to these after the examination process has been completed. Candidates are entitled to receive copies of their supervisor's report once the process has been completed. (See also **A.25** above.)

A.39 Embargoed work

It is the policy of the University for higher degrees research to be published. In exceptional cases, the University will consider placing an embargo, once only, of up to three years on the publication of this research. Permission for an embargo must be granted by the Deputy Vice-Chancellor (Research) on the advice of the Supervisor, through the Faculty Graduate Studies Committee, and should normally be approved at the time that the candidate's title and scope is considered. The applicant must specify in his/her request for an embargo whether it should apply to both the hard and electronic copies or only to one of them.

(See also attached guidelines in Section E of this document.)

B. STANDING ORDERS FOR DEGREES OF MASTER BY A COMBINATION OF COURSEWORK AND RESEARCH

In general terms, the principles contained in the Standing Orders for candidates for degrees of PhD and Master (by research) apply to candidates for the degree of Master by coursework and research report. Where they are different they are specified below.

B.1 Differences

B1.1 Application and admission to a degree of Master by combination of coursework and research includes admission to both the coursework and research aspects of the degree. There is thus no need for separate admission for the research report or for the nomination of Supervisors prior to registration.

B1.2 Where a degree of Master is offered by a combination of coursework and research report, the degree shall not be awarded unless the candidate passes both components of the degree.

B1.3 Each Faculty is required to constitute an Examination Board, which is a sub-committee of the Faculty Graduate Studies Committee or the Faculty Board, whose role it is to review the marks allocated to each of the coursework components taken towards the degree. The provisions in Senate Standing Orders on Assessment apply to the manner in which courses are assessed.

B1.4 The research report is examined separately, and a mark is awarded by each examiner. It is desirable for the research component of the degree of Master by a combination of coursework and research that the internal examiner of a thesis is **NOT** the Supervisor of the candidate.² However, if this is not feasible, the Head of School or Postgraduate Co-ordinator shall motivate to the Faculty Graduate Studies Committee for the Supervisor of the candidate to serve as the internal examiner for the research component of the degree of Master by a combination of coursework and research.

B1.5 The final mark for the research report is approved by the Faculty Graduate Studies Committee who may delegate this responsibility to the Chairperson in terms of the Faculty Higher Degrees Standing Orders. Faculty Graduate Studies Committees are required to make explicit in their own procedures and Standing Orders how the marks allocated by examiners will be used to determine the final mark of the candidate. The mark given to the research report shall normally remain as the final mark, even once revisions are made to the work to the satisfaction of the Supervisor. If the work is re-examined, the Faculty Graduate Studies Committee determines, in line with its published procedures, how the mark is to be determined.³

B1.6 Faculties will make explicit in their rules for the degree concerned what the rules of progression and minimum requirements are for the coursework and components of the coursework (i.e. how it is determined whether or not a student is deemed to have 'passed' their coursework.).

B1.7 This degree cannot be awarded through the submission of any work published or submitted for publication prior to the enrolment for the degree..

B1.8 The dates for submission of the research reports which follow coursework are set by the Faculties concerned.

B1.9 The Faculty Graduate Studies Committee will play an oversight role annually in monitoring trends in the coursework results, the research report results and the overall results of students.

B1.10 In exceptional cases, where a particular discipline requires this, the internal and the external examiner may confer. In such cases, this has to be approved by the Faculty Board and specified in the Faculty Standing Orders.

² Both the coursework component and the research report require a mark. In the case of the Faculty of Health Sciences provision should be made for the capture of college examination exemptions in lieu of marks. Faculty Standing Orders should outline how the management of marks, symbols or advanced standing is handled.

³ Criteria for the award of a degree with distinction should be set out in the Faculty Standing Orders.

C. STANDING ORDERS FOR SENIOR DOCTORATES

The Standing Orders in Section A of this document have been framed to cover the principles and procedures relating to candidates for higher degrees, and in particular the degrees of Master by research, and PhD.

The Standing Orders in Section C have been framed to cover the basic principles and procedures relating to candidates for senior doctorates.

The provisions of Section C are to be applied in the first instance in the case of senior doctorates, but where they are silent on a particular issue on which guidance is needed, Section A is to be referred to, provided that in no instance may Section C's Standing Orders be departed from.

C.1 Application

A person who wishes to be admitted as a candidate for a senior doctorate shall lodge his or her application, in writing, with the Dean of the Faculty concerned, submitting a *curriculum vitae* and evidence of his or her academic and general qualifications. This section has to be read in conjunction with the General Rules and Faculty Rules relating to Senior Doctorates.

In addition, each applicant shall present the following in support of his or her application:

C.1.1 A title and an outline of the scope of the published work that he or she proposes to present for the degree. Work that has been accepted for publication may be presented in lieu of published work if the candidate produces evidence that the work has been so accepted. Work already submitted for a previous degree should not contribute more than in a minor way to the substance of the published work or works submitted for a senior doctorate.

C.1.2 A list of his or her scholarly published work relevant to the general field/s of his or her senior doctorate. In the case of joint authorship, the applicant's share of the work must be indicated.

C.1.3 One copy of the published work that he or she wishes to submit for examination, together with a document co-ordinating the material and providing a framework on which his or her application is to be assessed.

C.2 Admission of candidate and appointment of examiners

The Dean of the Faculty concerned shall appoint an *ad hoc* Committee comprising:

C.2.1 The Chairperson of the Faculty Graduate Studies Committee (Chairperson)

C.2.2 The Dean of the relevant Faculty

C.2.3 The Head of the School and/or the Head of discipline/s under whose aegis the applicant would normally be registered

C.2.4 Such other persons with the appropriate expertise as the Dean may consider suitable.

The function of the *ad hoc* Committee shall be to peruse the published work and to consider whether or not a *prima facie* case exists for admitting the applicant. If such a case is considered to exist, the *ad hoc* Committee shall nominate at least three examiners of the work who are themselves distinguished in the field. At least two should be external examiners.

In submitting its recommendation report and, where applicable, its nomination of examiners to the Committee, the *ad hoc* Committee shall furnish the name, address and present post of each examiner, stating his or her academic and professional qualifications, together with a brief statement concerning his or her suitability for appointment as examiner.

The Faculty Graduate Studies Committee shall agree to or reject the recommendation and appoint or change the nominated examiners by a simple majority.

For the purposes of these Standing Orders, an external examiner is defined as a person who has not in any way been involved in the preparation of the work and who is not a member of the University.

C.3 Registration

On being notified that his or her candidature has been accepted, the applicant shall pay the prescribed fee and shall thereupon be registered as a candidate for the degree.

C.4 Time allowed for examining

Each examiner shall be requested to submit his or her report within two months of his or her receiving the material presented for examination. The examiners shall normally not be required to return the body of work sent to them for examination.

C.5 Honorarium

Information concerning the payment of an honorarium to an external examiner is available from the Faculty Office. An honorarium is not paid to an internal examiner.

C.6 Examiners' reports

The examiners shall send their reports to the Faculty Registrar.

C.6.1 Procedure in the case of favourable reports

When all the reports have been received, and if they are all considered by the Dean and the Chairperson of the Faculty Graduate Studies Committee to be favourable, the Faculty Office shall submit them to the Faculty Graduate Studies Committee.

After considering the reports of the examiners, the Faculty Graduate Studies Committee shall submit its recommendations to the Board of the Faculty and then to Senate for approval.

C.6.2 Procedure in the case of unequivocally unfavourable reports

If two or more examiners recommend unequivocally against the award of the degree, then the published work in its existing form shall not be approved for the degree. The Faculty Graduate Studies Committee shall nevertheless receive the reports of the examiners and recommend against the award of the degree to the Faculty Board.

C.6.3 Procedure where reports are not unequivocally favourable

If the examiners are not unanimous in recommending the award of the degree, or the Dean of the Faculty considers that the examiners' reports are not all unequivocally favourable, the procedure shall be as follows:

C.6.3.1 *Ad hoc* Committee

The Dean of the Faculty, in consultation with the Chairperson of the Postgraduate Committee, shall appoint an *ad hoc* Committee to consider the reports in the first instance. Such *ad hoc* Committee shall not be empowered to serve as an examining Committee, and is not intended to be a committee of experts, but shall comprise persons of high standing in the University who are accustomed to examining candidates for higher degrees, and to interpreting examiners' reports. If they need expert advice, they may seek it from within or outside the University. Members of the *ad hoc* Committee are not excluded from giving expert advice.

It is not policy merely to appoint an additional examiner in a controversial case. An additional examiner may be appointed only in exceptional cases. Reasons for such a decision must be given in the *ad hoc* Committee report.

If an *ad hoc* Committee decides to appoint an assessor, his or her role is not that of an examiner, but of an expert to assess the published work as well as the examiners' reports and to advise on the fairness of the examiners' reports. The name of the assessor must remain confidential and his or her report must not be disclosed to anyone other than the *ad hoc* Committee.

The report of the *ad hoc* Committee shall be made available to the Faculty Graduate Studies Committee only.

C6.3.2. Award of the degree

The candidate's work shall not finally be approved for the degree unless the award of the degree is supported by two-thirds of the members of the Board of Faculty present and voting at the meeting of that Faculty Board at which the recommendations of the Faculty Graduate Studies Committee are considered.

C.7 Procedure after non approval

If the published work is not approved, the candidate's candidature shall be terminated and he or she shall not be re-admitted as a candidate for the same degree within a period of two years from the date of submission of his or her published work. Any application for re-admission shall be dealt with as though the candidate were applying for the first-time.