



HIGHER DEGREES ADMINISTRATION

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FOREWORD

This document contains the structures and processes relevant for the regulation and administration of higher degrees in the University of Johannesburg (“the University”). This document together with the University’s Higher Degree Policy provide a framework for the administration, governance and quality management of higher degree studies and programmes at the University. Individual faculties may enact additional rules to address requirements specific to them, subject to approval by Senate.

For the purposes of this document, the term ‘higher degrees’ refers to studies, research, or programmes at the master’s and/or doctoral level, equivalent to level 9 and 10 of the Higher Education Sub Qualifications Framework (HESQF). Other postgraduate qualifications, such as honours degrees and postgraduate diplomas, are dealt with in the Academic Regulations that are published for each academic year.

Copies of this document are available from the University’s website.

This document must be read in conjunction with the Higher Degrees Policy, and the University’s Academic Regulations, specifically those sections of the Regulations dealing with master’s and doctoral degrees.

DEFINITION OF TERMS

TERM	DEFINITION / DESCRIPTION
Additional assessor	An Additional Assessor must meet all the criteria required of an external assessor and is appointed to expand the scope of the assessment or to resolve conflicting issues. The additional assessor receives the thesis or (minor) dissertation as submitted and allocate a mark. The additional assessor has the same standing as any of the other assessors and the recommendation offered by an additional assessor is not binding on the FHDC or the SHDC.
Approval	Implies full and final decision-making authority (necessary and sufficient), and requires substantive consideration informed by insight into a full set of documentation.
Arbitrator	An Arbitrator meets all the qualifying attributes of an External Expert. The Arbitrator receives the reports of the other assessors/ experts as well as the report by the supervisor and the originally submitted dissertation/thesis, and/or the version where corrections have been applied, if relevant an Arbitrator seeks to help all parties settle the dispute. The recommendation offered by an Arbitrator are submitted to SHDC for approval and to Senate for noting

Dean's Office	The Executive Dean's Office (including the HFA, Faculty Officer/Administrator, and their staff) is responsible for the administrative structure supporting operations and functions associated with higher degree studies.
External Expert	An External Expert meets all of the qualifying attributes of a Additional Assessor but is moreover someone of recognized experience and an unquestionable expert in the discipline and study field of the dissertation/thesis. The External Expert will also receive the reports of all the other assessors and the original submitted version of the dissertation/thesis, and/or the corrected version – where relevant Recommendation offered by the External Expert is not binding upon FHDC or the SHDC.
Faculty	"Faculty" also includes "College" and the Johannesburg Business School in the remainder of this document.
Faculty Higher Degrees Committee (FHDC)	The Faculty Higher Degrees Committee is a subcommittee of the Faculty Board that has the delegated responsibility for the management of aspects relating to higher degrees at faculty level.
Faculty Higher Degrees Assessment Committee (FHDAC)	<i>Ad hoc</i> or permanent subcommittee of the FHDC that considers matters related to the assessment of minor dissertations, dissertations and theses and makes recommendations to the FHDC and/or Faculty Board in this regard. This is an optional structure and not all faculties have this structure.
For noting	Except in extraordinary circumstances, no decision-making authority associated with this step, but may refer matters back for further consideration.
Faculty Research Ethics Committee (FREC)	The Faculty Research Ethics Committee is a sub-committee of the Faculty and of the Institutional Ethics Committee.
Gender	This document frequently refers to "their" (or "he/she") (as a gender reference). The reference should be extended to all genders including those outside of this binary reference.
Head of Faculty Administration (HFA)	The HFA reports to the Executive Dean and is finally responsible for the administrative and support functions at faculty level.
HoD	Head of Department.
Part-time student	A person for whom study is not the main activity, who may be employed and is enrolled for fewer than the specified number of modules per semester and who may complete his/her qualification within a longer specified time frame than the minimum study period stipulated for an equivalent full-time

	programme.
Preregistration	A period before formal registration where a potential higher degree student is given limited access to institutional resources to prepare for formal registration.
Ratification	Implies full and final decision-making authority (necessary and sufficient). Differs from “approval” in that it is usually exercised based on insight into only a summary of the relevant documentation while retaining the right to consider all relevant documentation (and the duty to do so where necessary). Because it is in practice more cursory than “approval”, ratification typically requires <i>at least one</i> earlier recommendation made based on a substantive consideration informed by insight into a full set of documentation.
Recommendation	Implies no final decision-making authority but is a necessary step for approval (at a higher level). Recommendation requires substantive consideration informed by insight into a full set of documentation.
Senate	The Senate is the body responsible for academic matters at the University.
Senate Higher Degrees Committee (SHDC)	The SHDC, which is a subcommittee of Senate, considers in detail recommendations from the faculties on higher degree-related matters and advises Senate accordingly.
Senex	The Executive Committee of Senate.
Vice-Dean	Vice-Dean responsible for postgraduate studies.

PART A: ADMINISTRATIVE STRUCTURES AND RESPONSIBILITIES

1. A SUMMARY OF COMMITTEES AND STRUCTURES AND THEIR ADMINISTRATIVE RESPONSIBILITIES

- 1.1 The **Senate**, which approves, ratifies and/or notes any decision referred to it by the Senate Higher Degrees Committee (SHDC) and in accordance with the approved delegation of authorities.
- 1.2 The **SHDC**, which is a subcommittee of Senate, considers in detail recommendations from the faculties on higher degree-related matters and advises Senate accordingly.
- 1.3 The **Faculty Board** is the principal custodian of academic quality regarding higher degree programmes in the faculty and must formally establish appropriate structures or mandate existing ones to assist the

- faculty in exercising this responsibility.
- 1.4 The **Faculty Higher Degrees Committee (FHDC)** is a subcommittee of the Faculty Board that has the delegated responsibility for the management of all aspects relating to higher degrees at faculty level. Decisions taken by the FHDC are submitted to the Faculty Board for noting or approval and to the SHDC for noting or approval, as applicable.
 - 1.5 A separate Faculty Higher Degree Assessment Committee (FHDAC) may be established as a subcommittee of the FHDC and entrusted with the responsibility of considering assessors' reports and making recommendations to the FHDC and Faculty Board. The establishment and composition of the FHDACs is left to the discretion of the faculties, although faculties are encouraged to have at least three Faculty Board members with the right to co-opt other Faculty Board members as and when necessary.
 - 1.6 The supervisor ensures professional and ethical academic supervision of the higher degree research study and students registered under their name. He/she is also responsible for University academic administrative and managerial matters attendant on the project and students registered under their supervision. The general rule should apply that a supervisor may not supervise a student studying towards a qualification higher than their own. However, in exceptional cases, they may co-supervise such a student if they are bringing certain expertise. In general, the University does not limit the number of higher degree students any one staff member may supervise, but it expects faculties to manage throughput purposefully with due regard to student progress, timeous completion of degree studies, and academic employee workload, and to place a premium on quality management considerations in this regard. Where there is a need or request to change a supervisor during the study phase the allocation process should be followed, documented and records must be kept.
 - 1.7 Faculties put strategies in place to mitigate the risk of failure of higher degree students. This includes rigorous student selection, ensuring the implementation of the Supervisor-Student Agreement, monitoring student progress and mentoring and supporting inexperienced supervisors. Faculties may also consider using a peer review system before submission of dissertation and theses for assessment.

PART B: REGULATIONS AND PROCEDURES AS THEY APPLY TO THE STUDY CYCLE OF A HIGHER DEGREE STUDENT

2. THE APPLICATION PHASE

- 2.1 A student may contact the department or a potential supervisor and seeks advice on admission, a potential research idea and the assignment of a supervisor to their study.
- 2.2 The prospective student is advised on registration procedures by the faculty office. Faculties are responsible for ensuring that systems and processes are in place to keep records of all relevant application documentation.
- 2.3 Prospective students must apply for admission to programmes not later than the determined programme specific closing dates as stipulated on the official

UJ website.

- 2.4 The requirement for admission in a specific master's or doctoral qualification is in line with that specified in the Higher Degrees Policy although specific requirements may apply as provided in the specific faculty information.
- 2.5 The University has the right to revoke or amend the admission status of an applicant and cancel or refuse the registration of an applicant or student who provided incorrect information and/or documentation material to an application for admission or re-admission, or who omitted to provide information or documentation material to an application for admission or re-admission.

3. ADMISSION PHASE

- 3.1 Candidates may be admitted to a master's or doctoral programme as stipulated in section 7 of the Higher Degrees Policy.
- 3.2 Additional admission requirements for higher degrees may be determined by Faculty Boards and submitted to Senate for approval.
- 3.3 Where an applicant for a master's or doctoral degree does not hold the prerequisite formal qualifications, the Policy: Recognition of Prior Learning may be initiated by the HoD concerned, if applicable, to award to an applicant academic status equivalent to that of an honours degree (NQF level 8) in the case of a master's and a master's degree (NQF level 9) in the case of a doctorate, as determined by the particular Faculty Board, approved by Senate and contained in the faculty rules and regulations concerned.
- 3.4 In the case of interdisciplinary master's programmes, additional admission requirements may be set by the two or more relevant interdisciplinary fields/departments/faculties, approved by Senate, and contained in the relevant faculty Rules and Regulations.
- 3.5 In the case of joint international master's or doctoral degree programmes students must meet all the UJ criteria for admission to such a degree programme as well as any further criteria set by the international institution(s) with whom the degree is being jointly offered.
- 3.6 The success of an international application depends on both the confirmation of academic acceptance and the obtaining of the required statutory documentation.
- 3.7 Even if an applicant meets the minimum entry requirements as stated above, a HoD in consultation with the applicable Vice Dean or Executive Dean's office may refuse to admit an applicant if in their assessment the applicant is unlikely to succeed in the chosen research project, in case of limits of enrolments per programme, if the UJ approved enrolment plan has been exceeded, if professional regulation requirements already have been met or if the department lacks sufficient supervisory capacity and an appropriate supervisor cannot be identified within the university.
- 3.8 Applicants whose application for admission has been refused despite meeting the minimum admission requirements may request written reasons for such refusal from the relevant HoD.
- 3.9 Applications for admission by international students are dealt with according to the regulations stipulated in the UJ Academic Regulations.
- 3.10 Master's and doctoral candidates have to re-register annually until they have completed their studies subject to duration and progress requirements.
- 3.11 In general, if a student exceeds the maximum time of study for the relevant

qualification the current relevant Higher Degrees Policy and Academic Regulations apply and not those at the time of registration.

4. PREREGISTRATION PHASE

- 4.1 Allowance is made for a possible pre-registration period (for research-based qualifications) during which a student will have limited access to university resources including supervision. This is done in accordance with the relevant faculty/College Rules and Regulations.
- 4.2 The preregistration period may extend from a minimum of three months to a maximum of six months. Where the pre-registration period carries over to a following academic year, the student must re-preregister.
- 4.3 To qualify for formal registration, the student must have complied with all the conditions for progression during the term of pre-registration set and recorded by the faculty/College, in time to register in accordance with the timeframes set by the University.

5. REGISTRATION PHASE

- 5.1 Registration is done in accordance with dates set by the University.
- 5.2 Master's and doctoral candidates have to re-register annually within the time constraints described in the Academic Regulations, until they have completed their studies, subject to the maximum periods of enrolment.
- 5.3 Renewal of registration for a master's or doctoral programme is subject to satisfactory progress by the student, as documented in the study progress reports.
- 5.4 A student may register as a full-time or part-time student. Each of the modes have consequences regarding the set maximum time. Switching between the modes is subject to permission by the faculty in consultation with the PGS. A change in registration from full-time to part-time may only be done before the maximum time for full time registration has been reached.
- 5.5 The registration of a student as a full-time or a part-time student is done according to the requirements in the Academic Regulations.
- 5.6 Irrespective of full- or part-time enrolment, the minimum formal registration period for a master's degree is one academic/calendar year and for a doctoral degree two academic years. In each case these periods run from the start of the year of first registration for the degree to the completion of the registration period.
- 5.7 Table 1 stipulates the maximum periods of enrolment for full- time and part-time master's and doctoral study. The maximum periods are calculated in terms of the months a student is registered. The month in which a student registers or completes the studies will count as a full month. Should re-registration be required due to a resubmission of a (minor) dissertation or thesis, this extended period will be included in the calculation of the registration period.

Table 1: Maximum duration of masters and doctoral studies

	Master's study	Doctoral study
Full-time study	24 months	48 months
Part-time study	36 months	60 months

- 5.8 Permission to register beyond the permissible maximum time requires motivation by the supervisor, recommendation by the HoD and approval by the Executive Dean. Permission will only be granted in exceptional circumstances and will in general be limited to a prolongation of 12 months.
- 5.9 Interruption (a study break which does not count towards the period within which the study must be completed) may be granted in exceptional circumstances, for a maximum of twelve months, and only once during the period of study. This matter would be to the discretion of the FHDC. Approval must be obtained from FHDC prior to the interruption of studies.
- 5.10 Where professional bodies stipulate periods of enrolment for the degrees that differ from those outlined here, faculties may adjust formal enrolment periods; accordingly, such adjustments must have the endorsement of the Registrar's office and have the approval of Senate.

6. THE CONTACT PHASE

- 6.1 A supervisor needs to be assigned for a research master's or doctoral student prior to registration and recorded on the student system at the time of final selections. Additional co-supervisors may be appointed within six months for master's student and nine months for a doctoral student if deemed necessary. Thereafter, permission must be sought from FHDC. The supervisor for the research of coursework or professional master's students must be assigned and recorded on the student system within one month of registration for the research module of their study.
- 6.2 To be appointed as supervisor for a master's minor/full dissertation a staff member be in possession of a master's degree for the specific or cognate discipline. In addition, the staff member must have acted as sole supervisor or as the main supervisor for a master's degree before or must have gained experience to full completion of such a higher degree study as co-supervisor with an experienced colleague.
- 6.3 To be appointed as supervisor for a doctoral thesis, the staff member must have a doctoral degree in the specific or cognate discipline. In addition, the supervisor must have acted as a sole supervisor or as the main supervisor a doctoral degree before or must have gained experience to full completion of such a higher degree study as a co-supervisor with an experienced colleague.
- 6.4 If the supervisor is not a UJ staff member, a co-supervisor who is a UJ staff member must be appointed unless the FHDC has approved exemption from this rule for the specific instance.
- 6.5 Postdoctoral Research Fellows, Research Associates, Visiting Associate Professors and Visiting Professors who are appointed with the University

- may be appointed as co-supervisors, if they meet the requirements previously stated. In exceptional circumstances these may be appointed as supervisors with the approval of FHDC upon submission of a motivation.
- 6.6 Where external supervisors are used, as in 6.3 and 6.4 or the case of a professional master's research project or coursework master's minor dissertation, a formal induction process must be completed by the supervisor to ensure adherence to UJ policies, guidelines, and regulations.
 - 6.7 Guidelines are provided by the supervisor on the preparation of a research proposal and technical requirements pertaining to academic writing and referencing.
 - 6.8 The Supervisor-Student Agreement must be signed within one month of registration and should be kept on record. A copy of the signed agreement must be provided for uploading onto Perceptive Content (the upload would be done through Faculty Administration). Either the UJ Student-Supervisor Agreement or a faculty version of this Agreement (if it exists) may be used for this purpose. (Faculties may make additions to the standard Agreement but may not omit any part of it.)
 - 6.9 Any change in supervisors must be approved at FHDC and recorded on Integrator Tertiary Software. If a new supervisor is appointed, a new Student Supervisory Agreement must be signed and uploaded on Perceptive Content.
 - 6.10 The relationship between the student and the supervisor and co-supervisor(s) is guided through the Student Supervisor Relationship Policy that, among others, stipulate the expectations of both the student and the supervisor.
 - 6.11 The supervisor and co-supervisor(s) will provide guidance and supervision in line with the Student-Supervisor Relationship Policy.
 - 6.12 The student formally registers for the degree programme to qualify for research supervision. Thereafter, master's students have six and doctoral students nine months to complete their research proposals to the standards required by the relevant faculty and University policy. During this time, they have access to the University resources that they require to formulate their research proposals. Students may not undertake any data collection, or any activities related to data collection prior to applicable ethical clearance and the acceptance of the proposal by the relevant structure within the faculty.
 - 6.13 The study field, title, supervisors and assessors for course-work minor or full dissertations and theses are approved by the FHDC and noted by the SHDC.
 - 6.14 Research proposals are approved by faculties in terms of their quality and research ethics requirements. Research proposals are scrutinised at departmental level before they are considered and approved by the relevant FHDC. Research proposals may also be approved at departmental level where faculty specific regulations provide for such an arrangement. Faculties may require a student to defend (in person, in front of a committee in the home department) their proposal.
 - 6.15 If a research proposal is not approved by the FHDC or delegated authority, the student may re-work the proposal, but may only submit it for approval one more time. If the research proposal on this re-submission is

- not approved, the student's registration is terminated, unless permission to continue is granted by the HoD and Dean/Executive Dean concerned.
- 6.16 Changes to the study title, the supervisors and assessors of minor/full dissertations and theses are approved by the FHDC and noted by the SHDC.

7. THE STUDY PHASE

- 7.1 The structures that provide support during supervision and that can be utilised by the higher degree student include:
- 7.1.1 The supervisor, who has specific responsibilities towards the higher degree student as specified in the Student-Supervisor Relationship Policy;
 - 7.1.2 The home department of the higher degree student, which may offer different kinds of support; and
 - 7.1.3 The UJ Postgraduate School, including Statistical Consultation Services, which provides a range of support in various aspects of research
- 7.2 Students may obtain information on higher degree bursaries such as the availability of external and internal bursaries, bursary conditions and closing dates for application for the various bursaries from the Postgraduate School.
- 7.3 Students can furthermore consult their supervisors, academic departments, and faculties for information on bursaries.
- 7.4 Higher degree students are generally expected to apply for external bursaries before they apply for UJ bursaries. Students may apply for UJ supervisor-linked bursaries after they have formally registered.
- 7.5 Through their academic department, faculty or supervisor, some students may find financial support through appointment as research or student assistants/tutors.
- 7.6 Supervisors are responsible for ensuring that six-monthly progress reports (twice per year) from the date of first registration of the student are submitted to faculty. These documents must be signed by both the supervisor(s) and the student. The faculties are the custodians of the records that should be uploaded on Perceptive Content. The faculty office has access to view these uploaded results.
- 7.7 Any change in study field, scope, supervisor, or proposal does not constitute reasons for extending the time allowed for completing the study.

8. ETHICS CLEARANCE

- 8.1 Accountability for all research ethics vests with UJ Senate (through the UJ SREC). Delegated authority for ethics clearance does exist through the FHDC or, where formulated, through the FREC.
- 8.2 Ethics matters attendant on higher degree research activities will be dealt with according to the Code of Academic and Research Ethics.
- 8.3 Approval by the faculty of any higher degree proposal implies that the research will be undertaken in compliance with all applicable statutory and ethical guidelines, as defined in the faculty-specific regulations or

academic information brochures and the Code of Academic and Research Ethics and with due regard to statutory and professional regulatory requirements and general best-practice principles to protect human and animal dignity and welfare in research.

- 8.4 A unique ethics clearance number will be assigned to all research projects that have received ethical clearance.

9. CHANGE OF TITLE OF A RESEARCH REPORT (MINOR) DISSERTATION OR THESIS

- 9.1 Draft and final titles are submitted to FHDC for approval and, in the case of a thesis, to SHDC for noting and are also recorded on ITS.
- 9.2 Changes of the final title of a submitted thesis, (minor) dissertation or research report must have the approval of the FHDC and changes in thesis title must be resubmitted for noting by SHDC.
- 9.3 Where relevant, if the title, scope, or study field of the study has changed the supervisor must ensure that the study funder is notified of the change.

10. CONVERSION/TRANSFER IN REGISTRATION FROM A MASTER'S TO A DOCTORAL DEGREE

- 10.1 In exceptional cases, where the scope and impact of a project originally registered for a master's programme prove to expand considerably beyond the initial expectation and where the project is expected to make a novel contribution to the body of knowledge in the discipline, a student's registration for a research master's may be considered for conversion to registration for a doctoral degree.
- 10.2 The process can only be initiated after nine months of registration and before 18 months of registration.
- 10.3 The process may not be initiated after a dissertation has been submitted for final assessment.
- 10.4 The decision to request a transfer may originate from discussions between the candidate and the supervisor or from the evaluation by the supervisor or co-supervisor(s).
- 10.5 To qualify for a transfer the student should demonstrate: 'high-level research capability and to make a significant and original academic contribution at the frontiers of a discipline or field' (HEQSF 2013 p.36).
- 10.6 The motivation for the conversion is submitted by the supervisor, via the HoD to the FHDC. The motivation includes a submission from the student that explicates how the research project will be advanced from a master's level to a doctoral level – conceptually, theoretically, methodologically, and analytically. Supporting evidence to support the motivation should be attached.
- 10.7 If the FHDC supports the application, it appoints two independent external experts that meet the criteria for appointment as external assessors for a doctoral thesis, to evaluate the merits of the application.
- 10.8 The evaluation of the merits of the transfer may include a presentation by the student – to the FHDC and/or the external assessors.
- 10.9 The external assessors submit their recommendation to the FHDC, together with a detailed motivation for the recommendation.

- 10.10 The FHDC considers the recommendation, in accordance with the delegation of authority in the faculty and submits its recommendation via the SHDC for final consideration and approval by Senate.
- 10.11 In case of a successful application to transfer, the student must be registered for at least one further year for the doctoral qualification.
- 10.12 The maximum time to completion for the doctoral qualification includes the period the student was registered for the master's qualification.
- 10.13 A candidate who changes registration from a master's degree to a doctoral degree will not be entitled to receive a master's degree if the doctoral thesis is failed.
- 10.14 That the assessment of the doctoral qualification must not include any of the individuals involved in evaluating the conversion of the master's registration to a doctoral registration.

11. DISPUTE RESOLUTION DURING THE STUDY PERIOD

- 11.1 If a dispute arises between two or more of the parties involved in a particular postgraduate study, namely the student and one or more supervisors, and they are unable to resolve the dispute they should approach the HoD to resolve the matter.
- 11.2 If the matter is not resolved and after exhausting the departmental processes, any of the parties may approach the Vice Dean responsible for higher degrees to resolve the dispute.
- 11.3 If the Vice Dean is unable to resolve the dispute the Executive Dean of the faculty will take steps to resolve the dispute.
- 11.4 In the event of a dispute not being resolved, the case can be referred by the Executive Dean to the Postgraduate School and, if applicable, to the SHDC, with a comprehensive report detailing the situation and chronology for final consideration and steps to resolve the matter if the matter.

12. APPOINTMENT OF ASSESSORS

- 12.1 As the student's studies near completion (and the assessors have not yet been appointed), the supervisor notifies the HFA (or the Faculty Officer responsible for higher degree studies) of the student's intention to submit at least four (4) months in advance to start the process to appoint external assessors. Approval for the proposed assessors must be done so that they can be appointed timeously, which is a prerequisite for the assessment process to commence.
- 12.2 The supervisor and HoD agree on at least two assessors for a master's study and at least three for a doctoral study to be proposed to the FHDC. The nomination forms for the assessors, together with updated CVs or biography and biographical details, are submitted to the FHDC for approval. A summary of the appointments of assessors for doctoral assessors is submitted to the FHDC for approval. A summary of the appointments of assessors for doctoral assessors is submitted to the SHDC for noting.
- 12.3 For a research report (as in the case of a professional masters or a coursework master's where the research credits amount to less than 60) at least one external assessor and a moderator (responsible for several of the

- research reports), both holding at least a master's degree in the particular discipline or cognate discipline, must be appointed. At least one of the assessors or moderators must be external to the University. No external or internal assessor or moderator should have had prior involvement with the study (which might compromise their objectivity when assessing the minor dissertation).
- 12.4 For a minor dissertation at least two assessors, both holding at least a master's degree in the particular discipline or cognate discipline must be appointed, at least one of whom must be external to the University. No external or internal assessor should have had prior involvement with the study to the effect that objectivity of the assessor is compromised when assessing the minor dissertation.
- 12.5 For a research dissertation at least two external assessors must be appointed, at least one of whom must have a doctoral qualification while the other may have as highest academic qualification a master's degree in the particular or cognate discipline. These assessors must be external (see 12.9) to the University and must not have had prior involvement with the study which might compromise their objectivity when assessing the dissertation.
- 12.6 External and/or internal assessors may be appointed to a group of minor dissertations or research reports if approved through SHDC. Coordinated examination sessions, independent of supervisors/co-supervisors, may be organised by faculties.
- 12.7 In exceptional circumstances only, a faculty may motivate to the SHDC that consideration be given to the appointment of an assessor for a research report or (minor) dissertation from within the University, but this person may not be the supervisor or co-supervisor of the dissertation and must not have had prior involvement with the study.
- 12.8 Where a proposed assessor has been employed at the University within the last 24 months and is no longer holding a fixed-term or permanent appointment with the University, a faculty may motivate to the SHDC that consideration be given to the appointment of an assessor from within the University, but this person may not be the supervisor or co-supervisor of the dissertation and must not have had prior involvement with the study.
- 12.9 Distinguished Visiting Professors, Visiting Professors and Research Associates may be appointed as external assessors for postgraduate students, provided that they are not disqualified from acting as assessors in terms of paragraph 12.7 and 12.8 and the other considerations specified in the policy. However, any person currently employed as an external supervisor or co-supervisor, or who is on any contract involving the receipt of payment from the university for their work, will not be considered "external" and only under exceptional circumstances and clear motivation they may be appointed as an external assessor.
- 12.10 Any person who may reasonably be expected to lack sufficient objectivity in the assessment of a minor dissertation, dissertation or thesis is excluded from acting as an assessor; this includes, for example, relatives or dependents of degree candidates, persons over whom any of the supervisors could exert undue influence, even by default, any person who has been involved in the study or who assisted the student in any way or co-published with the student or intend to co-publish with the student.

- 12.11 Except for minor dissertations, all efforts should be made to ensure that a selection of assessors is used with no single assessor appointed more than two times within a single academic year for students linked to a specific supervisor or co-supervisor. A faculty may motivate to the SHDC that consideration be given to more frequent appointments of an assessor, provided that due diligence was followed to obtain a wider selection of assessors.
- 12.12 Departments are required to write a motivation for the appointment of an assessor not attached to a higher education institution. This motivation must be submitted together with the assessor's full CV to the FHDC or (FHDAC) for approval.
- 12.13 For a doctoral thesis at least three assessors should be appointed. All assessors must hold a doctoral degree and be external to the University. They must also not have had prior involvement with the project to the effect that their objectivity is compromised when assessing the thesis. Efforts should be made to identify at least one assessor from outside South Africa.
- 12.14 To ensure the independence of assessments, each assessor must be attached to a different institution.
- 12.15 All assessors must have an appropriate academic or industry research profile, experience, and stature.
- 12.16 Supervisors are required to submit a motivation for the appointment of a doctoral assessor without a doctoral qualification, via the HOD, to the FHDC for approval. The motivation must include the necessary credentials of the assessor to substantiate the appointment, e.g., academic standing, experience.
- 12.17 Supervisors and co-supervisors of the specific study may not be appointed as assessors of the study.

13. SUBMISSION OF RESEARCH REPORTS, MINOR DISSERTATIONS, DISSERTATIONS OR THESES TO THE FACULTY FOR ASSESSMENT

- 13.1 Faculties decide and communicate to students as to how the assessment copies are submitted. Rules and regulations pertaining to the presentation, format, and layout of research reports, (minor) dissertations, and theses that are to be submitted for assessment are stipulated in the Faculty Rules and Regulations.
- 13.2 Supervisors should take reasonable steps to check that plagiarism or copying does not occur in higher degrees. One measure, as indicated in 13.11, is that a student must submit a report generated by commercial software programmes (such as Turnitin) along with the documentation submitted to the supervisor. The student remains responsible to ensure that plagiarism does not occur. The Plagiarism Policy applies.
- 13.3 No research report, (minor) dissertation or thesis may be submitted for final assessment without the explicit written permission of the supervisor. Where the supervisor decides to withhold permission, due processes must be followed (refer to 13.13).
- 13.4 No supervisor shall unreasonably withhold permission for the submission of the (minor) dissertation or thesis for assessment.
- 13.5 Where a dispute arises between the supervisor(s) and student about the

- submission of the research report, (minor) dissertation or thesis for assessment, the student has the right to approach the HoD, Vice Dean and Executive Dean, in this order, with a written submission motivating why the research report, (minor) dissertation or thesis is considered ready to be assessed. The Executive Dean will make a decision in consultation with the HoD and FHDC. The decision of the Executive Dean is reported to the SHDC.
- 13.6 Where the supervisor does not approve the submission for examination of the research report, (minor) dissertation or thesis the supervisor is not involved in the appointment of the assessors. Where the assessors have already been appointed the FHDC/Executive Dean should consider the appointment of alternate assessors.
 - 13.7 The submission of the research report, (minor) dissertation or thesis should be in accordance with the final submission dates per semester as contained in the University's Year Programme to ensure timely completion of the assessment process. Late submission could imply the renewal of a registration and/or not graduating on time. However, even if a research report, (minor) dissertation or thesis is submitted timeously, the University can offer no guarantee that all assessors will complete their assessment in time for the next graduation ceremony.
 - 13.8 If required by assessors or faculty-specific requirements, printed, provisionally bound copies of a candidate's research report, (minor) dissertation or thesis must only be submitted to the HFA if requested by the supervisors and assessors appointed for the particular study.
 - 13.9 An abstract in English of no more than 1000 words (two pages), describing the problem statement, the most important methods followed, the most important results obtained, and summary of research outputs and impact must appear in the front of every (minor) dissertation or thesis.
 - 13.10 The candidate is responsible for ensuring that the research report, (minor) dissertation or thesis is of the required technical and language quality required by the supervisor(s) before submission.
 - 13.11 All electronic documents should be done in high resolution. The printing of the copies of the research report, (minor) dissertation or thesis, where needed, must be of a high quality, on high-quality paper. All text and graphical material must be clearly legible and should be easily print or photocopier reproducible. The submission should be prepared for upload to the university's institutional repository (open access) and therefore access of the research to public-at-large.
 - 13.12 The candidate must submit the following to the faculty office for assessment purposes: Copies of the research report, (minor) dissertation or thesis as an encrypted PDF document (the encryption must be shared with the assessors). If required by the faculty or department, a number of ring-bound copies equal to the number of assessors and supervisors that have requested it should also be submitted.
 - 13.13 Permission to Submit for Assessment Form signed by the candidate, supervisor(s), HoD. Where a supervisor did not support or approve submission this must be indicated and the HOD must sign the form.
 - 13.14 Affidavit confirming that the work is the candidate's own and that all sources used have been duly acknowledged and copyright approval has been obtained where applicable. The affidavit must also state that the study has

not been submitted to another institution as part of the requirements for a formal qualification. Where the study is done as a dissertation or thesis by articles or essay copyright approval must be provided in line with the Guidelines on theses or dissertations in article or essay format (<https://www.uj.ac.za/wp-content/uploads/2021/09/guidelines-on-theses-or-dissertations-in-article-format.pdf>).

- 13.15 Suitable steps must have been made to detect possible similarities, copying or plagiarism such as a Turnitin (or similar) report and evidence must be provided of this and a suitable interpretation by the supervisor.
- 13.16 The assessment of coursework modules takes place in accordance with faculty-specific regulations as determined by the relevant Faculty Board, approved by Senate, and contained in the relevant Faculty Rules and Regulations. This includes the consideration and granting of supplementary summative assessment(s) or special summative assessment opportunities for coursework modules. Refer to the Assessment Policy (<https://ujac.sharepoint.com/sites/Registrar/CorporateGovernance/Policies/Assessment.pdf>).

14. DISSEMINATION OF DOCUMENTS TO ASSESSORS AND SUPERVISOR(S)

- 14.1 Before a research report, minor dissertation, dissertation, or thesis is sent to assessor(s), the assessor(s) must be formally appointed.
- 14.2 When the research report, minor dissertation, dissertation or thesis and the other relevant documentation have been submitted to the HFA or faculty office, the assessment documentation is sent to the assessors by the faculty office. Assessors are granted six (6) weeks to assess a doctoral thesis, five (5) weeks for a master's dissertation and four (4) weeks for a minor dissertation or research report and to return the completed assessment form, narrative report (and dissertation or thesis if the assessor has indicated corrections in the manuscript) and the completed Temporary Appointment and Claim forms to the faculty office.
- 14.3 When a research report, (minor) dissertation or thesis is sent to the assessor it must be accompanied by a cover letter from the faculty, the assessment guidelines stipulating the requirements for the particular qualification (specifying *inter alia* the aspects the assessor is expected to report on in the case of a research report, (minor) dissertation or thesis) and a copy of the Assessor's Report Form. The cover letter must contain the following sentence:
“Please note that no inference as to the result expected by the University can or should be drawn from the fact that a minor dissertation, dissertation or thesis, is submitted to an assessor for assessment, as submission for assessment may occur with or without the permission of a supervisor.”
- 14.4 The HFA or Faculty Officer responsible for higher degree studies has to ensure that the assessors' reports are received timeously, and if not, the responsible faculty office staff member must follow up on these reports.
- 14.5 Sound communication should be maintained between the faculty office and students, supervisors, and assessors. For example, assessor reports must be acknowledged and remuneration processes, where applicable, should be timeously actioned.

- 14.6 The Faculty Officer / HFA is to compile the reports and submit to the supervisor. The supervisor shares the reports from the assessors with the student to enable corrections, ensuring all details about the identity and affiliation of the assessors are removed from the material shared with the student.
- 14.6 When the supervisor shares requirements for changes or corrections by assessors with the student, it must be ensured that only the part of the assessors' reports stipulating the requirements and no other information is not shared. Specifically, under no circumstances may the identity of any assessor be made known to the student, and in cases where an assessor has indicated on their report that the assessor does not object to their identity being made known to the student, this step may take place only once the assessment has run its complete course, which is ordinarily when SHDC has endorsed the final outcome of a higher degree study. When there is conflicting results the reports are not to be placed at the disposal of the student.
- 14.7 Supervisor(s) submit a Summary Assessment Form report to the HFA or Faculty Officer responsible for higher degree studies which contextualises the supervision process and highlights the achievements and shortcomings and must be submitted to the faculty office. This report serves along with all other documents at the FHDC and SHDC meetings.
- 14.8 During the assessment period (from the submission of the research report, (minor) dissertation or thesis for assessment to the pronouncement of SHDC on the final outcome of the study) the supervisor(s) and student may not communicate with the assessors regarding the student's work or the assessment process.

15. POSSIBLE OUTCOMES RECOMMENDED BY THE INDIVIDUAL ASSESSORS

- 15.1 There are four possible responses from an assessor of a (minor) dissertation, namely:
- 15.2 He/she may approve the (minor) dissertation with no corrections to be made and award a mark of 50% or more.
 - 15.2.1 He/she may provisionally approve the (minor) dissertation with minor corrections to be done to the satisfaction of the supervisor and award a mark of 50% or more.
 - 15.2.2 He/she may recommend substantial amendments to the (minor) dissertation without awarding a mark in the light of deficiencies identified in their narrative report and advise that the revised version be submitted to them for reassessment acknowledging the fact that their final mark will be capped at 50%.
 - 15.2.3 He/she may reject the dissertation, awarding a mark reflecting a fail (less than 50%) in which case no reassessment by this assessor will take place.
- 15.3 There are four possible responses from an assessor of a thesis, namely:
 - 15.3.1 Approval of the thesis and that the doctoral degree be conferred, with or without minor corrections;
 - 15.3.2 Provisional approval of the thesis, subject to the candidate effecting non-substantive corrections and improvements as identified in the assessor's report, to the satisfaction of the

- supervisor;
- 15.3.3 Non-approval by the assessor due to substantial deficiencies in the thesis as identified in the assessor's report.
- a. Recommend that the substantial amendments be effected to the satisfaction of the SHDC (The FHDC's process may involve the advice from an internal/external independent expert); or
 - b. The thesis to be re-submitted to the assessor for re-assessment.
- 15.3.4 Reject the thesis, in which case no reassessment is recommended or considered and a fail of the thesis is recommended by the assessor.
- 15.4 Because processes in the university are subject to occasional auditing, such as in favour of the Promotion of Administrative Justice Act (Act 3 of 2000), the onus is upon the faculty to keep accessible records of the examination process.

16. MANAGING AND PROCESSING THE ASSESSMENT RESULTS IN THE FACULTY

- 16.1 The standard process for managing and integrating assessment results is provided for in tables 1 and 2 below. Faculties engage with assessors separately and independently during the assessment process unless they elect the option to seek a unified recommendation from assessors when there are conflicting results, as indicated in tables 1 and 2 below. A flow diagram that details the process of resolving the outcomes of master's qualifications is given in Appendix 2. Faculties may, however, choose to incorporate the seeking of a unified recommendation as a standard step into their processes, regardless of whether there may be conflicting assessment results or not.
- 16.2 In seeking a unified recommendation from assessors, either as a standard step in the assessment process or as an option when there are conflicting assessment results, a faculty circulates the individual assessment reports to all assessors and facilitates a discussion via email, telephone, video call, online or hybrid/ in-person meetings. This process may involve an oral defence of the dissertation/thesis by the candidate, provided that all assessors are present or copied in all parts of the deliberations. Faculties wishing to incorporate an oral defence should arrive at faculty-specific or discipline-specific guidelines, approved by the relevant Faculty Board and Senate.
- 16.3 Where a unified recommendation is arrived at, a Unified Report authored by HoD or the individual delegated by the Dean or FHDC and approved by all assessors is submitted to the FHDC, along with all the assessors' reports. Significant differences between the individual and unified reports need to be explained in the unified report.
- 16.4 Where a unified recommendation is not arrived at, the HoD or the individual delegated by the Dean or FHDC provides a report indicating the reasons. The report may recommend a particular course of action for the FHDC to consider. The FHDC will have regard to the various courses of action set out in 16.13 below.

- 16.5 Where a unified recommendation is not arrived at, if one or more assessors provide a well-motivated argument for the revision and resubmission of the work submitted for assessment, the default position is to do such revisions. In all instances of corrections and revisions the supervisor(s) (and where applicable the Non-Assessing Chair) oversees the process and certifies in writing that all corrections requested by the assessors have been addressed before the student resubmits the corrected version of the study to the faculty office.
- 16.6 Where a unified recommendation is not arrived at, if two (or more) of the assessors for a master's (minor) dissertation fail the study it constitutes a fail.
- 16.7 In the finalisation of the assessment of a master's study with conflicting assessment results or a mark difference of more than 15% the FHDAC/FHDC is not obliged to award a simple average of the assessors' marks if there is a discrepancy of more than 15% between the marks allocated by individual assessors, or if one assessor recommends a distinction mark and the other allocates a mark lower than a distinction. The processes described in resolution of conflicting results may be followed in such a case – see Table 2.
- 16.8 In the case where minor corrections are required, a candidate is granted a maximum period of three months to do the corrections to the satisfaction of the supervisor. In addition, should a student not complete the corrections before the cut-off date for completing results of a specific academic year, they might be required to register for the next semester/academic year to complete the assessment process.
- 16.9 In the case where substantial changes and resubmission for re-assessment are required, a candidate is granted a maximum of six months to do the corrections and to resubmit the research report, minor dissertation, dissertation, or thesis with the approval of the supervisor. The HFA forwards the corrected document to the assessor(s) who requested a resubmission. The mark of the assessor(s) who proposed a resubmission will be capped at 50% in the case of a (minor) dissertation.
- 16.10 A student who has failed a research master's or a doctoral degree will need to reapply for the degree and register a new topic if they wish to reattempt the degree. A failed master's dissertation or doctoral thesis may not be resubmitted for examination.
- 16.11 In the case of a professional or coursework master's qualification a student who has failed the research report or minor dissertation, but has passed the coursework modules, the FHDC, on recommendation of the supervisor and HoD , may approve that the candidate repeats the research report or minor dissertation module on a newly defined study field, to be submitted and approved as per the processes stipulated for first time submission and approval of study fields. Repeating the research report or minor dissertation is subject to:
- 16.11.1 Overall performance in the coursework;
 - 16.11.2 Completing the minor dissertation in the allowed maximum period for a master's qualification, i.e. 24 months in the case of a full-time student and 36 months in the case of a part-time student. In exceptional circumstances, another 12 months may be granted to complete the study subject to approval by the Executive Dean.

- 16.12 To be awarded a master's degree with distinction a student must:
- 16.12.1 achieve a final mark of at least 75% in case of a master's by dissertation;
 - 16.12.2 achieve an average final mark for the qualification of at least 75% in the case of a professional or coursework master's, calculated in accordance with the credit values allocated to all the coursework modules and the research report or minor dissertation respectively (for example, if the credit value of the minor dissertation represents 40% of the total credit value of the qualification, the average final mark for the qualification will be weighted in the proportion of 40 for the research report or minor dissertation and 60 for all the coursework modules);
- 16.13 Should the assessment result have been problematic, with assessors that made conflicting recommendations as to the awarding or not of the degree, or as to the merit of the research report, (minor) dissertation, or thesis, FHDC should take steps to resolve the impasse. The resolution of the conflicting recommendations could involve one or more of the following steps:
- 16.13.1 Request additional information from the supervisors and/or assessors;
 - 16.13.2 Recommend further engagement with the assessors. One possibility is to reach a unified recommendation;
 - 16.13.3 Appoint a knowledgeable external expert to advise the FHDC;
 - 16.13.4 Appoint an additional assessor to assess the originally submitted research report, (minor) dissertation, or thesis independently; or
 - 16.13.5 Appoint an arbitrator to consider the reports of the other assessors/ experts, the report by the supervisor, and the originally submitted dissertation/thesis, and/or the version where corrections have been applied, if relevant to make a recommendation to the FHDC.
- 16.14 It should be borne in mind that submission to a further external assessor, external expert, or arbitrator still permits the FHDC and SHDC to make a final decision concerning the end result.
- 16.15 The SHDC may make further recommendations to resolve conflicting assessment results, on an ad hoc basis, depending on the merits of the individual case (except in the case of an arbiter's recommendation).
- 16.16 Guidelines for FHDC responses in terms of the handling of non-conflicting and conflicting assessment results are provided in the tables 1 to 2 below as well as the flow diagram in Appendix 2.
- 16.17 All assessments in the category of 'standard integration of non-conflicting assessment results' are reviewed and finalised by the faculty. When there are significant discrepancies between the results of the assessors or where one or more assessors recommend revision and reassessment, results cannot be immediately finalised.
- 16.18 An allegation of plagiarism will be dealt with in accordance with the Plagiarism Policy and no feedback from assessors should be provided to the student prior to resolving the matter.
- 16.19 If two or more of the assessors for a doctoral thesis recommend a fail, the assessment outcome constitutes a fail.
- 16.20 A candidate who has failed a research report, (minor) dissertation or thesis

- may not again be assessed on the same project.
- 16.21 When a research report, (minor) dissertation or thesis is failed, supervisors must provide details explaining why the study was allowed to be submitted for assessment unless the supervisor was opposed to the submission.
- 16.22 When a dissertation is failed a proposal on a different project should be submitted should the student wish to reregister and the faculty is willing to accept the reregistration.
- 16.23 Where applicable, a designated independent person/structure within the faculty or department may confirm that the necessary changes have been made without sending the document back for assessment by the external assessor.
- 16.24 The final assessment outcome may be revealed to the candidate only once the assessment results have been approved by the FHDC in the case of masters and SHDC in the case of doctoral studies.
- 16.25 An assessor's name may be revealed to a student only after the assessment process has been finalised and the final assessment outcome has received endorsement at SHDC, provided that the particular assessor has given consent that their identity may be revealed to the student.
- 16.26 The following tables provide guidance for the standard integration of non-conflicting results:

Table 1: Guidelines for the standard integration of results for master's research reports¹, master's minor dissertations or master's dissertations. All outcomes are subject to complying with requested corrections.

Research Report, Minor Dissertation and Dissertation results proposed by assessors	Faculty Response
1. Both assessors recommend a mark of at least 50%, and the difference between the marks is less than 15%.	Average the marks. The FHDC may consider adjusting the marks at 73% or 74%, to 75% and 63% or 64% to 65%

¹ In the instance of a research report, one of the assessors is a moderator.

Research Report, Minor Dissertation and Dissertation results proposed by assessors	Faculty Response
2. Both assessors recommend a mark of at least 50%, but the difference between the marks is more than 15%.	<p>For dissertations (minor), the faculty may decide to average the marks</p> <p>Appoint an additional assessor. Consider the recommendation and recommend an appropriate mark.</p> <p>OR</p> <p>Appoint an additional assessor. Average the third assessor's mark with the mark of the original assessor or moderator that is closest to that of the third assessor to determine the final mark.</p> <p>OR</p> <p>Facilitate further discussion between assessor to arrive at a unified recommendation</p> <p>OR</p> <p>Appoint an arbitrator to consider the reports of the other assessors/ experts, the report by the supervisor, and the originally submitted dissertation/thesis, and/or the version where corrections have been applied, if relevant to make a recommendation to the FHDC.</p>
3. Both assessors recommend a reassessment.	The student revises and re-submits. The marks of the two re-assessments are each capped at 50%.

Research Report, Minor Dissertation and Dissertation results proposed by assessors	Faculty Response
4. One of the assessors recommends a fail, while the other recommends a mark of 50% or more, or a reassessment.	<p>Appoint an additional assessor: If the additional assessor recommends a pass, the two pass marks are averaged, bearing in mind that if one of the original assessors required a reassessment, the mark of the reassessment of that assessor is capped at 50%. If the additional assessor recommends a fail, the student fails this component of the degree study. If the additional assessor recommends a major revision and reassessment, the student revises and resubmits for reassessment. The additional assessor's mark, as well as that of the reassessment of one of the original assessors where applicable, is each capped at 50%. The final mark is the average between 50% and the second assessor's (pass) mark in case the pass mark of the original assessor did not involve a reassessment.</p> <p>OR</p> <p>Appoint an expert advisor or an arbitrator. Consider the expert advisor's recommendation (not binding on FHDCs pronouncement) and recommend an appropriate mark.</p>
5. One of the assessors recommends reassessment, while the other assessor recommends a pass.	<p>Student revises and resubmits for reassessment to the assessor requiring reassessment.</p> <p>If this assessor recommends a pass mark for the revised work, this assessor's mark is capped at 50%. The final mark is the average of the marks of the two assessors.</p> <p>If this assessor recommends a fail for the revised work, appoint a third assessor (as above) or appoint an expert advisor or an arbiter. Consider the recommendation of the expert advisor or the third assessor or the arbitrator.</p>

Table 2: Guidelines for the standard integration of non-conflicting and conflicting results for Theses.

Thesis Results proposed by assessors	Faculty Response

1. All the assessors recommend awarding the qualification, with or without minor corrections, but without the need for resubmission or reassessment.	Recommend the awarding of the qualification following a declaration from the supervisor that all the corrections were implemented by the student.
2. Two or more assessors recommend the failure of the thesis.	Recommend that the majority result carries and the student fails.
3. One assessor recommends the failure of the thesis, while the other two recommend a pass or revision and reassessment.	Facilitate further discussion between the assessors to arrive at a unified recommendation OR Appoint an additional assessor. If the additional assessor recommends a pass, the thesis passes. If the additional assessor recommends a fail, appoint an expert advisor. Consider the expert advisor's recommendation and recommend an appropriate mark.
4. One or more assessors recommend revision and resubmission for reassessment and no assessor fails the thesis.	Student revises and resubmits for reassessment. If the assessor (or assessors) who recommended a resubmission recommends a pass, the student passes. If one assessor then recommends a fail, follow the procedure in #3 above. If both assessors recommend a fail of the reassessed work, follow the procedure in #2 above.

16.27 Following the doctorate examination, faculties must ensure that the compulsory oral defence or Viva Voce which forms part of the academic requirements for a doctoral qualification is completed. The implementation of the mandatory Viva Voce would apply to doctoral candidates/students who graduate from 2024 onwards. If the Viva Voce was already included in a faculty's rules and regulations, it would also apply to students graduating from 2023. The Viva Voce should be arranged by the academic department/research group/centre/institute. To promote the work of the candidate and/or their research team internationally, it is recommended that the session is conducted online or as a hybrid (online and in-person activity).

17. FINALISING OF ASSESSMENT RESULTS AND ADMINISTRATIVE REQUIREMENTS

17.1 All forms and reports (assessors' assessment forms and narrative reports, supervisors' reports, summary reports, and FHDC reports) are submitted to the HFA or Faculty Officer responsible for higher degree studies.

17.2 In addition to the submission of the final research report, (minor) dissertation or thesis, and except where faculties exempt students from this, students must have submitted to their supervisor evidence of, by the time the FHDC meets to consider the assessors' reports, at least one piece of work in a format suitable for submission to a DHET accredited peer reviewed publication, with a view to possible publication, for master's students and two pieces of work in a format suitable for submission to a DHET accredited peer reviewed publication, with a view to possible publication, for doctoral candidates stemming from the study.

17.3 The FHDC meets to review the results and assessment reports of all masters'

and doctoral candidates, as well as the supervisor certification that the proposed corrections have been done. All master's results (including professional and coursework master's results) are finalised at this level, approved by Faculty Board, and submitted to the SHDC for noting.

- 17.4 For doctoral candidates, all the relevant documentation (assessment forms, narrative reports, supervisor reports, summary reports, FHDC reports and certification that corrections have been done) serves at Faculty Board for recommendation and at SHDC for approval, after which the Senate receives the results for noting.
- 17.5 After final acceptance of the research report, (minor) dissertation or thesis for graduation purposes, a number of bound copies (corrected according to the decisions of the relevant assessment committee) equal to the number of assessors and supervisor(s) that requests such copies, plus the final version in an approved electronic format (single PDF file), with metadata, as required by the institutional repository, that are an integral part of the thesis, (minor) dissertation, or research report, but not part of the full text thesis or (minor) dissertation must be submitted by the candidate to the faculty before the finalisation of the programme of the applicable graduation ceremony. No candidate's name may be included in the programme for the graduation ceremony unless the faculty has verified in writing that these requirements have been met in full.
- 17.6 Together with the electronic copy, the candidate must submit written confirmation stating that the content of the electronic copy is a true version of the finally approved research report, (minor) dissertation, or thesis.
- 17.7 Under the guidance of the supervisor, the candidate must provide at least three, but not more than six, internationally standardised keywords in English. Access to the international list of keywords is available in the University Library and Information Centre.
- 17.8 A doctoral candidate must also submit an abbreviated biography and a laudation, in the required format and approved by the supervisor, when submitting the finally corrected copies of the thesis to the faculty, for uptake in the graduation programme.
- 17.9 After all results/outcomes have been finalised, the HFA submits the electronic copy together with supplementary files (images, sound, etc.) that are an integral part of the thesis or (minor) dissertation, but not part of the full text thesis, (minor) dissertation, or research report to the Institutional repository for web (open) access publishing.
- 17.10 All research reports, (minor) dissertations, or theses, regardless of format must be accompanied by a completed UJLIC research report, (minor) dissertation, or thesis UJ Electronic Thesis/Dissertation (UJ ETD) Submission Form signed by both the candidate and the supervisor.
- 17.11 The SHDC may, on the recommendation of the Executive Dean of the faculty concerned or Head: Postgraduate School (PGS) or the Director: Technology Transfer Office (TTO) grant a confidentiality classification of two years (renewable) to the completed (minor) dissertation, or thesis, as stipulated in the University's Policy on Intellectual Property, meaning a delay in the public display of the research report, (minor) dissertation, or thesis. This should be clearly stated on the UJ ETD Submission Form.
- 17.12 A candidate will not be deemed to have completed the requirements for conferment of the degree if the final corrected electronic copy of the (minor)

dissertation, or thesis has not been submitted to the relevant HFA prior to the closure of the graduation list of the forthcoming graduation ceremony. Where this is a requirement, printed and bound copies must be supplied as well.

- 17.13 Any master's or doctoral degree can be awarded only after the successful completion of every requirement of each component of the qualification as determined by the relevant faculty regulations.
- 17.14 Appropriate feedback must be given to all assessors once the outcome has been approved.

18. HEALTH AND SAFETY

- 18.1 The supervisors of a research project are responsible for assessing whether a research project has health and safety implications in accordance with Policy: Occupational Health and Safety.
- 18.2 Where a supervisor requires further guidance or assistance, they should contact the Office of Occupational Health or the Office of Occupational Safety.
- 18.3 Supervisors should alert higher degree students to these matters, and should advise students on an on-going basis, particularly where laboratory work or fieldwork (involving perhaps contract fieldworkers or data gatherers) is involved.
- 18.4 If a project has significant health and safety implications, the supervisor in consultation with the Office for Occupational Health and the Office of Occupational Safety should provide more formalised training or orientation to the student(s) to ensure compliance with Health and Safety regulations, UJ regulations and the conditions of any relevant insurance cover.

19. INTELLECTUAL PROPERTY

- 19.1 Guiding principles on intellectual property can be found in the Policy on Intellectual Property, and Authorship Policy.
- 19.2 The supervisors are responsible for monitoring all higher degree projects for potential inventions or other intellectual property implications and disclosing such inventions or implications to the Technology Transfer Office (TTO), Research and Innovation Division.
- 19.3 Students who develop inventions or other forms of commercially valuable intellectual property are expected to disclose such inventions to their supervisors, in accordance with the Policy on Intellectual Property.

Version History

Approved by Senate 23 March 2009

Approved by Senate 17 November 2010

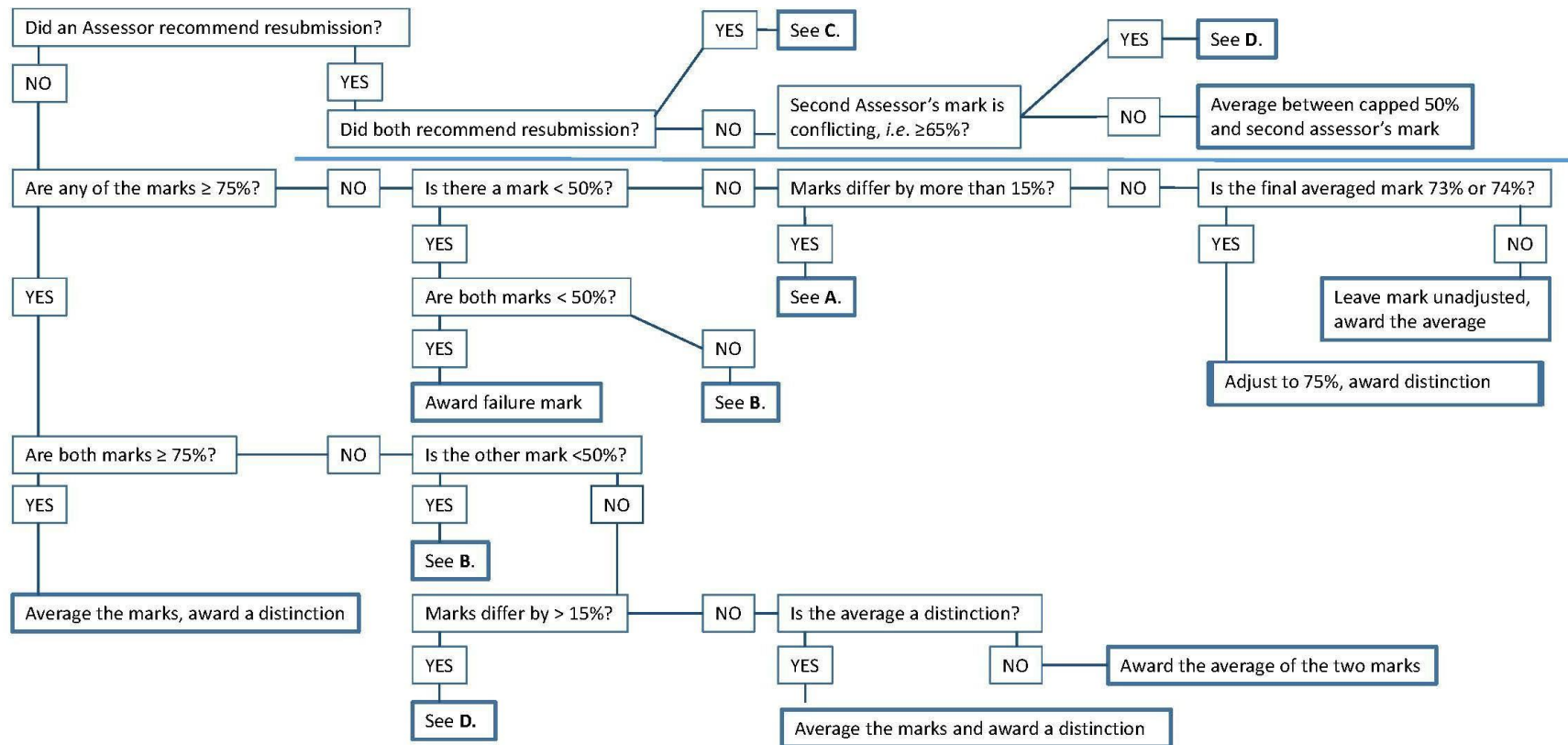
Approved by Senate 17 November 2018

Approved by Senate 12 September 2022.

An amendment was made to point 16.27 to align with 2023 approved Academic Regulations- 29 November 2022.

A minor amendment was made to points 16.1, 16.16 and 16.24 - 30 January 2023.

APPENDIX 1 – Flow Diagram for Resolving Outcomes for Masters Qualifications



Flow diagram to resolve outcomes of M degrees

AM Strydom November 2018

A

1. Facilitate further discussion between the assessors to arrive at a joint recommendation.
2. Appoint an expert advisor. Consider the expert advisor's recommendation and recommend an appropriate mark.
3. Appoint an additional assessor. Average the additional assessor's mark with the mark of the original assessor that is closest to that of the additional assessor to determine the final mark.

B

1. Facilitate further discussion between the assessors to arrive at a joint recommendation.
2. Appoint an additional assessor:
 - If the additional assessor recommends a pass, the two marks are averaged.
 - If the additional assessor recommends a fail, the (minor) dissertation fails.
 - If the additional assessor recommends a major revision and reassessment, the student revises and resubmits for reassessment.
 - If a pass mark, capped at 50%, is then awarded, the student passes with the average of the two pass marks.
 - If the additional assessor recommends a fail for the resubmitted (minor) dissertation, the student fails.
3. Appoint an expert advisor. Consider the expert advisor's recommendation and recommend an appropriate mark.

C

Student revises and resubmits for reassessment:

1. If both assessors recommend a pass mark, with the mark for the revision capped at 50%, average the two marks.
2. If one assessor recommends a fail, appoint a third assessor (as above) or appoint an expert advisor. Consider the expert advisor's recommendation and recommend an appropriate mark.
3. If both assessors recommend a fail, the student, fails.

D

1. For minor dissertations, the faculty may decide to average the marks
 2. Appoint an additional assessor. Consider the recommendation and recommend an appropriate mark.
- OR
3. Appoint an additional assessor. Average the third assessor's mark with the mark of the original assessor or moderator that is closest to that of the third assessor to determine the final mark.

OR

4. Facilitate further discussion between assessor to arrive at a unified recommendation

OR

5. Appoint an arbitrator to consider the reports of the other assessors/ experts, the report by the supervisor, and the originally submitted dissertation/thesis, and/or the version where corrections have been applied, if relevant to make a recommendation to the FHDC.

Note on appointments to resolve conflicts

An '**Additional Assessor**' appointed to resolve conflicting issues meets in all respects the same criteria for appointment as a regular Assessor. Recommendation offered by the Additional Assessor is not binding upon the FHDC/SHDC.

An '**External Expert**' meets all the qualifying attributes of a Third Assessor but is moreover someone of recognised experience and an unquestionable expert in the discipline and study field of the dissertation. Recommendation offered by the External Expert is not binding upon the FHDC/SHDC.

An '**Arbitrator**' meets all the qualifying attributes of an External Expert. Recommendation offered by an Arbitrator is binding upon the decision-making process of evaluating a conflicting situation.