



NORTH-WEST UNIVERSITY[®]
YUNIBESITI YA BOKONE-BOPHIRIMA
NOORDWES-UNIVERSITEIT

GENERAL ACADEMIC RULES



2016

General Academic

Rules

Table of Contents

General Academic Rules 2016

1	General provisions	1
1.1	Application and interpretation.....	1
1.2	Application for admission.....	2
1.2.1	Procedure	2
1.2.2	Faculty-specific requirements	2
1.2.3	Selection	2
1.3	Registration	2
1.3.1	Prior admission.....	2
1.3.2	Simultaneous registration at more than one institution.....	2
1.3.3	Simultaneous registration for more than one qualification	2
1.3.4	Use of the University's facilities by registered students	2
1.3.5	Submission to rules and resolutions.....	2
1.3.6	Duration of registration	2
1.3.7	Erroneous registration	2
1.4	Re-admission after interruption of studies	2
1.5	Protection of Personal (including educational) information	3
1.6	Faculty rules	3
1.7	Qualifications awarded posthumously.....	3
1.8	Avoidance of conflict of interest	3
2	Certificates, diplomas and degrees.....	3
2.1	Structure of undergraduate qualifications	3
2.2	Admission requirements.....	4
2.3	Registration	4
2.3.1	Annual registration	4
2.3.2	Recognition and exemption of modules	4
2.3.3	Progress requirements.....	5
2.3.4	Additional modules.....	5
2.3.5	Exemption from registration.....	5
2.3.6	Amendment or cancellation of registration	5
2.4	Examination.....	6
2.4.1	Examiners and moderators	6
2.4.2	Requirements for admission to examination.....	6
2.4.3	Pass requirements	6
2.4.4	Number of examination opportunities	6
2.4.5	Repetition of modules	6
2.4.6	Extension of period of study	7
2.4.7	Unsatisfactory academic performance.....	7
2.4.8	Termination of studies	7

2.4.9	Access to marked examination work.....	7
2.5	Attainment of qualification.....	7
2.5.1	Satisfaction of requirements	7
2.5.2	Qualification with distinction.....	7
3	Honours degrees	7
3.1	Structure of the qualification	7
3.2	Admission requirements.....	7
3.3	Registration	8
3.3.1	Annual registration	8
3.3.2	Registration for additional modules	8
3.3.3	Exemption from registration.....	8
3.3.4	Amendment or cancellation of registration	8
3.3.5	Recognition and exemption of modules	8
3.4	Examination.....	8
3.4.1	Examiners and moderators	8
3.4.2	Requirements for admission to examination.....	8
3.4.3	Pass requirements.....	8
3.4.4	Number of examination opportunities.....	8
3.4.5	Extension of period of study	8
3.4.6	Unsatisfactory academic performance.....	8
3.5	Attainment of the degree.....	9
3.5.1	Satisfaction of requirements	9
3.5.2	Qualification with distinction.....	9
4	Masters degrees	9
4.1	Structure of the qualification	9
4.1.1	Curriculum.....	9
4.1.2	Credits.....	9
4.1.3	Supervision	9
4.1.4	Research focus	9
4.2	Admission requirements.....	9
4.3	Registration	10
4.3.1	Research proposal and title registration	10
4.3.2	Annual registration	10
4.3.3	Registration for additional modules	10
4.3.4	Exemption from registration.....	10
4.3.5	Amendment or cancellation of registration	10
4.3.6	Recognition and exemption of modules	10
4.4	Examination.....	10
4.4.1	Nature of examination	10
4.4.2	Submission of dissertation or mini-dissertation for examination	11
4.4.3	Examiners and moderators	12
4.4.4	Examination.....	12

4.4.5	Vagueness or differences regarding examination results	13
4.4.6	Number of examination opportunities	13
4.4.7	Dispute resolution	13
4.4.8	Publication of dissertations or mini-dissertations	14
4.4.9	Upgrade of masters degree study to doctoral study	14
4.4.10	Extension of the study period	15
4.4.11	Termination of study	15
4.4.12	Classification of dissertations and mini-dissertations	15
4.5	Attainment of the degree.....	15
4.5.1	Meeting the requirements	15
4.5.2	Distinction	15
5	Doctoral degrees	16
5.1	Structure of the qualification	16
5.2	Admission requirements.....	16
5.3	Registration	16
5.3.1	Research proposal and title registration	16
5.3.2	Annual registration	16
5.3.3	Exemption from registration.....	16
5.3.4	Amendment or cancellation of registration	16
5.3.5	Recognition and exemption of modules	17
5.4	Examination.....	17
5.4.1	Nature of examination	17
5.4.2	Submission of thesis for examination.....	17
5.4.3	Examiners	18
5.4.4	Examination.....	18
5.4.5	Vagueness or differences regarding examination results	19
5.4.6	Number of examination opportunities	19
5.4.7	Dispute resolution	19
5.4.8	Publication of thesis	19
5.4.9	Additional examination requirements	19
5.4.10	Extension of the study period	19
5.4.11	Termination of study	20
5.4.12	Classification of thesis.....	20
5.5	Attainment of the degree.....	20



General Academic Rules of the North-West University

Preamble

WHEREAS the Senate is responsible for the regulation of all teaching, learning and research functions, as well as for the academic support functions of the University and for the determination of policy and rules concerning all academic matters; and

AFTER consultation with the relevant academic structures on all three campuses of the University regarding the appropriate manner in which students' admission and registration, the course of their studies, examination and related matters should be regulated; and

TAKING INTO CONSIDERATION the provisions of the *Higher Education Act, 1997* and of the *Statute of the North-West University*,

SENATE MAKES THESE RULES for the effective and orderly execution of the academic processes of the University.

1 General provisions¹

1.1 Application and interpretation

- 1.1.1 These rules must be read with and applied subject to the *Higher Education Act, 1997* and the *Statute of the North-West University* and in conjunction with policies as determined by Senate and Council, such as, but not limited to, the Admission Policy, the Recognition of Prior Learning Policy and the Assessment and Moderation Policy, as well as the schedule of payable fees as determined annually by the University.
- 1.1.2 Senate must compile a manual for post-graduate studies within the framework of the provisions of these Rules, which manual has the status of a binding policy document of the University, in order to regulate matters relating to the preparation for, progress, guidance and completion of post-graduate studies.
- 1.1.3 Except where expressly provided for otherwise, these Rules apply to all qualification programmes listed in the Programme and Qualification Mix of the North-West University and offered by the University and prevail over faculty rules.
- 1.1.4 In instances where a faculty rule may contain provisions that are in conflict with these rules, the latter will prevail.
- 1.1.5 Where functions and decision-making authority are entrusted by these Rules to persons or structures, Senate or the campus senate committee concerned may at any time resolve to require the person or structure concerned to report on the performance of the relevant function or the making of the decision, and Senate or the campus senate committee concerned may, within the limits of reasonableness taking into account the implications for those affected thereby, replace or revoke the act or decision concerned.

¹ Implementation date – 1 January 2015

1.2 Application for admission

1.2.1 Procedure

A prospective student applies for admission to the University by completing the prescribed application form either on paper or electronically and submitting it to the Admissions Office together with the prescribed application documentation, fees for application and selection (where applicable), or proof of payment thereof.

1.2.2 Faculty-specific requirements

No application for admission is accepted if the applicant does not, in addition to the general admission requirements, also comply with faculty-specific requirements where applicable.

1.2.3 Selection

The University reserves the right to select students before admission to specific fields and not to admit applicants to the relevant qualification programmes if they do not satisfy the selection standards, even where such applicants do meet the minimum admission requirements. Where, in such a case, a student number is allocated to an applicant, it is done solely for administrative purposes, and does not constitute or create a right to admission.

1.3 Registration

1.3.1 Prior admission

No one is registered as a student before such person is admitted to a specific qualification programme of the University or for non-degree purposes.

1.3.2 Simultaneous registration at more than one institution

A student may not be registered simultaneously at the University and at another higher education institution without written permission granted by the campus registrar concerned on recommendation of the dean concerned and with the concurrence of the other institution.

1.3.3 Simultaneous registration for more than one qualification

A student may not be registered simultaneously for more than one qualification within the University without prior written permission granted by the campus registrar concerned on recommendation by the dean or deans concerned.

1.3.4 Use of the University's facilities by registered students

Subject to specific exceptions granted by the campus registrar concerned, only registered students are entitled to utilize the University's facilities.

1.3.5 Submission to rules and resolutions

By signing and submitting the application and registration forms either on paper or electronically a student agrees to be bound by all rules, policies and decisions of the University for the duration of the student's study at the University.

1.3.6 Duration of registration

A student who is admitted to and registered at the University continues to be a student of the University for the duration of the validity of the registration or until such time as the registration is validly terminated by the student or by the University.

1.3.7 Erroneous registration

The University reserves the right to cancel any erroneous registration and to withdraw any qualification that was awarded erroneously after the conclusion of a disciplinary process or the completion of a thorough administrative enquiry.

1.4 Re-admission after interruption of studies

1.4.1 Where a student's study is interrupted for a year or longer, such a student must apply anew for admission by completing the relevant form, obtaining the written permission of the dean concerned to be re-admitted.

1.5 Protection of Personal (including educational) information

- 1.5.1 The NWU does not disclose any personal and or educational information regarding its students to any third party person or institution. Should any third party require such information then it must be requested by way of the Office of the Institutional Registrar in terms of the prescribed manner, in terms of the Promotion of Access to Information Act (2 of 2000), whereafter a process will be followed to ascertain whether the request complies with the provisions of the Protection of Personal Information Act (4 of 2013).

All NWU students will at first application and subsequent registrations be requested to make a decision as to which third parties the information may be disclosed. Students have the right to prohibit the disclosure of the personal information by submitting a written request in this regard to the Office of the Institutional Registrar.

1.6 Faculty rules

- 1.6.1 Every faculty board makes, subject to these Rules, faculty rules with regard to the qualification programmes offered by the specific faculty and submits those rules to Senate for approval.
- 1.6.2 Faculty rules may where appropriate, in addition to matters provided for in these Rules, provide for arrangements that may be necessary for the accommodation of qualification-specific requirements and faculty-specific procedures and structures.
- 1.6.3 The venue or venues where every qualification programme or curriculum is presented as well as the method of delivery thereof, are determined by faculty rules within the framework of institutional policies.
- 1.6.4 The minimum and maximum duration of a qualification programme and the required amount of credits for a module or qualification programme are set out in the faculty rules with regard to every module and the curriculum of every qualification programme.
- 1.6.5 Faculty rules are published in the calendar of the relevant faculty.
- 1.6.6 Where faculty rules are amended before the next version of the calendar is published, steps that are reasonably necessary must be taken to bring the amendments to the attention of students who are affected thereby.

1.7 Qualifications awarded posthumously

- 1.7.1 Notwithstanding any other provision, Senate may on recommendation by a faculty board, award a degree or diploma posthumously if the student already complied with all the requirements of the qualification concerned before passing away, or if the student has, in the opinion of Senate, clearly proven that the final examinations or other assessments required for the completion of the degree or diploma would in all likelihood have been passed by the deceased student.

1.8 Avoidance of conflict of interest

- 1.8.1 The dean must ensure, in consultation with the research director or research entity leader concerned, or where applicable, the school director concerned, that the risk of conflict of interest is limited to the minimum when examiners, supervisors, promoters and moderators² are appointed, in particular at postgraduate level.

2 Certificates, diplomas and degrees

2.1 Structure of undergraduate qualifications

The structure of every higher certificate, diploma and degree is provided for in faculty rules.

² A "moderator" is a person who was not personally involved in the teaching of the module in question and who is asked to do one or more of the following, namely to assess whether the syllabi and study guides meet the required standards, assess whether the examination questions meet the required standard and are based on the syllabus and study guide of the module concerned, determine the degree in which the required outcomes have been achieved by the students who passed the examination, assess whether the awarding of marks in an examination was done in a fair and consistent manner, and make recommendations regarding the content, presentation and examination of a module.

2.2 Admission requirements

The admission requirements for all formal academic qualifications offered by the University are set out in the Admission Policy as approved by Senate and Council (http://www.nwu.ac.za/content/policy_rules).

2.3 Registration

2.3.1 Annual registration

- 2.3.1.1 A student who has been admitted to the University registers for a specific qualification programme per annum or per semester for the duration of the study at the time determined in the annual calendar for that purpose, by paying the prescribed registration fee, completing the registration form either on paper or electronically, acquiring the required approval from faculty advisers and other functionaries concerned and submitting the form to the campus registrar concerned, upon which proof of registration is issued to the student.
- 2.3.1.2 Students who attend lectures, write tests, submit assignments and who write examinations without officially being registered, receive no credits, even if the prescribed fees have been paid.
- 2.3.1.3 A student registers on the date of registration in accordance with the rules relating to the qualification programme, curriculum and module concerned as provided for in faculty rules.
- 2.3.1.4 It is the personal responsibility of the student to ensure that all requirements for registration for the qualification programme, curriculum and module are complied with and that no class, test or examination time table clashes between modules for which the student registers, will occur. The University reserves the right to refuse or cancel a registration where this condition is not met.

2.3.2 Recognition and exemption of modules

- 2.3.2.1 A student who has studied at another recognised higher education institution and who applies to register in a qualification programme at the University, may apply in writing to the dean concerned for recognition or exemption of modules required for the qualification programme for which the student wishes to register, provided that the dean may grant recognition or exemption for no more than half the credits, preferably regarding the modules in the junior year levels of the qualification programme concerned.
- 2.3.2.2 A student who has acquired a qualification from the University or any other recognized higher education institution and who applies for registration in a qualification programme at the University, may apply in writing to the dean concerned for recognition or exemption of modules required for the qualification programme for which the student wishes to register, provided that the dean may grant recognition or exemption for no more than half of the credits, preferably regarding the modules in the junior year levels of the qualification programme concerned.
- 2.3.2.3 Any registered student who wishes to change to a different curriculum, may within the framework of the applicable faculty rules, apply in writing to the dean concerned for the recognition or exemption of modules already passed which are included in the curriculum to which the student wishes to change.
- 2.3.2.4 Faculty rules may stipulate that recognition or exemption of modules will apply for a specific period or that the dean may grant exemption or recognition of only certain modules.
- 2.3.2.5 An undergraduate or diploma student who has written a module examination and has failed that module and has to repeat the module, may apply in writing to the dean concerned to be exempted in the year after the module was failed from the practical work in the module, in which case the student registers for the module and makes the necessary arrangements with the lecturer concerned for the transfer of the mark for practical work from the previous year in order to form part of the participation mark³.
- 2.3.2.6 A student who failed a module and has in the opinion of the relevant school director complied with the class attendance requirements in the previous year, may on the recommendation of the school director concerned be exempted once from class attendance in that module by the dean concerned, subject to conditions provided for in the faculty rules.

³ "Participation mark" means the mark awarded within a prescribed period to a student in a module by way of formative assessment for the completion of those teaching-learning activities which are required as part of the study within the module.

2.3.3 Progress requirements

- 2.3.3.1 When a first semester module in a particular year level is set in the faculty rules as assumed learning⁴ for a second semester module, a module mark⁵ of at least 40% must be achieved in the first semester module concerned before the student may continue with the second semester module, subject however to higher requirements that may be set in faculty rules.
- 2.3.3.2 Where a module of one year level is set by faculty rules to be assumed learning for a module in the following year level, a pass mark (module mark) of at least 50% must be obtained in the module concerned before the student may register for the successive module.
- 2.3.3.3 Where faculty rules set a module as concurrent requirement for another module, such module is taken in the same semester as the module to which it is related.
- 2.3.3.4 Except where faculty rules provide otherwise, a student registered for a degree that leads to professional or statutory registration may only register for final year modules after all preceding modules have been passed.

2.3.4 Additional modules

- 2.3.4.1 A student who registers for the first year level of a curriculum may only be allowed to register additionally for one module on first year level per semester not required for the curriculum concerned, provided that no timetable clashes are brought about thereby.
- 2.3.4.2 A student who has already passed the first year of a curriculum may, with the permission of the dean concerned – which may be granted in accordance with the faculty rules - register for a maximum of two modules per semester or two year modules or one semester module and one year module, additional to the modules required for the curriculum, provided that no timetable clashes are brought about thereby and that the student passed all the modules of the previous semester.
- 2.3.4.3 A student who failed modules may in accordance with the faculty rules be allowed by the dean concerned to register for a maximum of two modules per semester or two year modules or one semester module and one year module, additional to the modules required for the curriculum, provided that no timetable clashes are brought about thereby.
- 2.3.4.4 Where a dean is satisfied that a particular student should be allowed to register for more modules than provided for in 2.3.4.1, 2.3.4.2 or 2.3.4.3 above, the specific decision is subject to the approval of the relevant faculty board.

2.3.5 Exemption from registration

Where a student must, in order to complete a qualification, write one outstanding examination that does not fall in the same semester as that in which all the requirements of the qualification are complied with, the student is exempted from registration for that semester.

2.3.6 Amendment or cancellation of registration

- 2.3.6.1 A student's registration may only be amended or cancelled on application in the prescribed manner and within the period annually indicated on the official calendar of the University.
- 2.3.6.2 The campus registrar concerned may cancel a student's registration for a particular module where such registration was done contrary to these or to faculty rules.

⁴ "Assumed learning" means the knowledge, skills and characteristics a student must have before the student can meaningfully continue with a specific module, which can be expressed as a module or modules, or parts thereof, which a student must have passed or in which a certain minimum performance must have been achieved.

⁵ A "module mark" is a mark calculated according to a formula which is determined from time to time for each module in terms of faculty rules, based on the participation mark and the examination mark awarded to a student in a module; provided that the weight of the participation mark in the above mentioned formula may not be less than 30% or more than 70%.

2.4 Examination

2.4.1 Examiners and moderators

- 2.4.1.1 For every non-exit level module there is at least one internal examiner⁶⁷ and at least one internal moderator⁸.
- 2.4.1.2 Every exit-level module is moderated externally at least every second year by a person or persons with the required qualifications, provided that such a person or persons may not be a staff member or otherwise connected to the University by way of an extraordinary appointment.

2.4.2 Requirements for admission to examination

A student who achieved the required participation mark or proof of participation⁹ prescribed by faculty rules, is admitted to the examination in the module concerned.

2.4.3 Pass requirements

- 2.4.3.1 Subject to the requirements regarding an examination sub-minimum as provided for in faculty rules, a student passes the examination in a particular module if a module mark of at least 50% is attained in the assessment.
- 2.4.3.2 Where a first-time entering student who has registered for the first time for an undergraduate programme at the University fails any first-year module with no less than 40% in the first semester, but achieves an examination mark of at least 50% in that module, the school director concerned may allocate a pass mark of 50% to the student.
- 2.4.3.3 The sub-minimum for examinations in all modules is 40% except where a higher sub-minimum is provided for in faculty rules.
- 2.4.3.4 If a first-time entering student is registered for a first semester module for the first time and fails that module with no less than 40%, and passes a second semester module in the same subject following on the first semester module for which the first semester module is prescribed as assumed learning, the school director concerned may retroactively award a pass mark of no more than 50% for the first semester module; provided that this may, at most, be done regarding one module in the student's curriculum per year.

2.4.4 Number of examination opportunities

- 2.4.4.1 For undergraduate examinations there are two examination opportunities per module, of which the student may utilise one or both.
- 2.4.4.2 A student who utilises the second examination opportunity will be liable for the prescribed fee.
- 2.4.4.3 Where the student utilises both opportunities, the module mark is calculated with reference to the participation mark which gave admission to the first examination opportunity and the mark achieved in the second examination.
- 2.4.4.4 Faculty rules may exclude specific modules from a second examination opportunity.
- 2.4.4.5 A student who, having used one or both of the examination opportunities, has passed all modules but one required for a qualification, may apply to the dean concerned to be granted a final assessment opportunity in the outstanding module, provided that the student was registered for that module in that academic year and had a participation mark that admitted him / her to the examination.

2.4.5 Repetition of modules

If a student fails the examination in a particular module, the module must, barring possible exceptions provided for in these Rules and faculty rules, be repeated in its entirety.

⁶ "Examiner" means the person who conducts the assessment of students' performance in an examination. In the case of a doctoral degree "examiner" means the person who conducts the assessment of a candidate's thesis.

⁷ An "internal examiner" is the lecturer in the module concerned who also conducts the examination of that module. In the case of a masters degree an "internal examiner" is the lecturer in the module concerned who also conducts the examination of that module, or in the case of the examination of a dissertation or mini-dissertation, a person in the employ of the University who was not involved in the supervision of the candidate concerned. In the case of a doctoral degree an "internal examiner" is a person in the employ of the University who was not involved in the supervision of the candidate concerned.

⁸ An "internal moderator" is in the employ of the University.

⁹ "Proof of participation" is a confirmation by the lecturer in a specific module that a student participated satisfactorily in the teaching-learning activities and in the performance of teaching-learning assignments in accordance with the curriculum requirements, whereby the student is admitted to a final assessment in that module or part of that module.

2.4.6 Extension of period of study

- 2.4.6.1 A student who does not expect to complete the curriculum for a qualification programme within the prescribed number of years may, before the end of the penultimate academic year, apply to the school director concerned for an extension of the study period.
- 2.4.6.2 The school director concerned may extend the student's study period in accordance with the provisions of the applicable faculty rules to enable the student to complete the qualification.

2.4.7 Unsatisfactory academic performance

- 2.4.7.1 Subject to exceptions that may be provided for in faculty rules, "unsatisfactory academic performance" means that a full-time student achieves in a semester less than half the credits required for the curriculum concerned or passes less than half of the modules registered for in the semester.
- 2.4.7.2 A student whose academic performance is unsatisfactory receives a formal warning from the dean and is referred for academic advice and study counselling.

2.4.8 Termination of studies

- 2.4.8.1 Where a student -
- 2.4.8.1.1 has already received two warnings from the dean as referred to in 2.4.7.2 and fails for the third time to show satisfactory academic performance, or
 - 2.4.8.1.2 did not obtain permission as referred to in 2.4.6.1 to exceed the maximum duration of the study period,
- the campus rector may, on the advice of the dean concerned, terminate the student's studies, and must report such termination to Senate.
- 2.4.8.2 A student whose studies have been terminated is not admitted to the same study programme in the subsequent academic year.
- 2.4.8.3 A student whose studies have been terminated may apply in the normal manner to be admitted to another study programme, but must in the course of the application mention the termination.
- 2.4.8.4 in the event of an application for re-admission the dean concerned has the discretionary authority to set reasonable conditions for such re-admission and must report such conditions to the Vice-Rector.

2.4.9 Access to marked examination work

Faculty rules must provide for procedures for and the management of the manner in which students may be given access to their examination work.

2.5 Attainment of qualification

2.5.1 Satisfaction of requirements

A certificate, diploma or degree is obtained when a student has passed in the examination of all the modules prescribed in faculty rules for the curriculum concerned.

2.5.2 Qualification with distinction

An undergraduate qualification is conferred with distinction where the student completes the degree in the minimum period and has achieved an average of 75% in all the core modules identified for this purpose in the applicable faculty rules. For purposes of calculating the average, modules completed at other institutions and that are recognised as such by the NWU, must be taken into account.

3 Honours degrees

3.1 Structure of the qualification

An honours degree consists of a number of modules with a minimum of 120 credits, as prescribed in faculty rules.

3.2 Admission requirements

The admission requirements for all formal academic qualifications offered by the University are set out in the Admission Policy as approved by Senate and Council (http://www.nwu.ac.za/content/policy_rules).

3.3 Registration

3.3.1 Annual registration

The provisions of 2.3.1 apply adapted as required to the honours programmes.

3.3.2 Registration for additional modules

A student may in any year of study on application be granted permission by the dean in accordance with faculty rules to enrol, besides for the prescribed modules of the curriculum concerned, for modules additional thereto.

3.3.3 Exemption from registration

The provisions of 2.3.5 apply adapted as required to honours programmes.

3.3.4 Amendment or cancellation of registration

The provisions of 2.3.6 apply adapted as required to honours programmes, provided that cancellation of registration for an honours programme may be requested at any time.

3.3.5 Recognition and exemption of modules

- a. A student who has studied at another recognised higher education institution and who applies to register in a qualification programme at the University, may apply in writing to the dean concerned for recognition or exemption of modules required for the qualification programme for which the student wishes to register, provided that the dean may grant recognition or exemption for no more than half the credits.
- b. A student who has acquired a qualification from the University or any other recognised higher education institution and who applies for registration in a qualification programme at the University, may apply in writing to the dean concerned for recognition or exemption of modules required for the qualification programme for which the student wishes to register, provided that the dean may grant recognition or exemption for no more than half the credits.

3.4 Examination

3.4.1 Examiners and moderators

3.4.1.1 The provisions of 2.4.1 apply adapted as required to honours programmes.

3.4.1.2 The supervisor of an honours mini-dissertation may not be an internal examiner of such a mini-dissertation.

3.4.2 Requirements for admission to examination

The provisions of 2.4.2 apply adapted as required to honours programmes.

3.4.3 Pass requirements

The pass requirements for every honours curriculum and module, inclusive of the ratio in which the assessment methods applicable to a specific module or group of modules in a faculty are combined to determine whether it has been completed successfully, are provided for in the faculty rules concerned.

3.4.4 Number of examination opportunities

3.4.4.1 Except where faculty rules provide otherwise, a student who fails one or more of the modules of an honours study in an examination may be granted a second examination opportunity in the affected module(s) by the dean concerned after consultation with the school director.

3.4.4.2 A student may, within the maximum period allowed for the study, repeat examination papers once in modules not exceeding 25% of the curriculum concerned.

3.4.4.3 A student, who, after making use of all the **available** examination opportunities, passed all the modules required in an honours programme except one, may apply to the dean concerned for a final assessment opportunity in the outstanding module, for which payment of the required amount, but not registration, is required.

3.4.5 Extension of period of study

The provisions of 2.4.6 apply adapted as required to honours programmes.

3.4.6 Unsatisfactory academic performance

The provisions of 2.4.7 and 2.4.8 apply adapted as required to honours programmes.

3.5 Attainment of the degree

3.5.1 Satisfaction of requirements

The honours degree is attained when a student has passed in the examination of all the modules prescribed in faculty rules for the curriculum concerned.

3.5.2 Qualification with distinction

The honours degree is conferred with distinction where the student completes the degree in the minimum period and obtained a weighted average of 75% in all the core-modules.

4 Masters degrees

4.1 Structure of the qualification

4.1.1 Curriculum

4.1.1.1 The curriculum for a masters degree is prescribed in faculty rules and may contain one or more of the following elements:

- 4.1.1.1.1 the writing of a dissertation;
- 4.1.1.1.2 the writing of a mini-dissertation;
- 4.1.1.1.3 taught modules;
- 4.1.1.1.4 the writing of manuscripts in article format;
- 4.1.1.1.5 performance of a series of concerts;
- 4.1.1.1.6 the compilation of a composition portfolio;
- 4.1.1.1.7 presentation of an exhibition,

provided that the research product submitted for examination must comply with all the requirements for a masters degree.

4.1.1.2 In cases where taught modules are required, those modules must, subject to different provisions contained in faculty rules, be completed within the first year of study.

4.1.1.3 The curriculum for a particular masters degree or the framework within which such curriculum may be composed, is provided for in faculty rules.

4.1.2 Credits

4.1.2.1 A minimum of 180 credits is required for a masters degree, of which at least 120 credits must be on NQF-level 9.

4.1.2.2 In a curriculum composed of both taught modules and a mini-dissertation, the mini-dissertation must carry a weight of at least 60 credits.

4.1.2.3 In a curriculum composed of both taught modules and a dissertation, the dissertation must carry a weight of at least 90 credits.

4.1.3 Supervision

4.1.3.1 A student admitted to a masters degree works under the supervision of a supervisor appointed in terms of the provisions of faculty rules and approved by the faculty board concerned.

4.1.3.2 To act as supervisor or co-supervisor of a master's degree, the supervisor or co-supervisor must at least be in possession of a master's degree. If a faculty requires a higher qualification than a master's degree to act as supervisor or co-supervisor of a master's degree, this must be specified in the Faculty rules.

4.1.4 Research focus

A masters degree study is undertaken within the framework of the research entity – where such exist - or school concerned.

4.2 Admission requirements

The admission requirements for all formal academic qualifications offered by the University are set out in the Admission Policy as approved by Senate and Council (http://www.nwu.ac.za/content/policy_rules).

4.3 Registration

4.3.1 Research proposal and title registration

- 4.3.1.1 Unless faculty rules expressly provide otherwise, the student must within six months after registration (as regards 4.1.2.1) or completion of the last exam (as regards 4.1.2.2 and 4.1.2.3) in consultation with a possible supervisor present a research proposal and title registration to a body determined by faculty rules for approval, which body formalises the appointment of a supervisor and where necessary co- or assistant supervisors in consultation with the directors having an interest therein.
- 4.3.1.2 If a student fails to present a research proposal as referred to in 4.3.1.1 above in time for approval after due notification, the study may be terminated.
- 4.3.1.3 If, in any year, a student fails to re-register as student at the time determined in the annual calendar, the faculty board concerned may assign the topic of the dissertation or mini-dissertation, if already registered, to another student in the same research entity.

4.3.2 Annual registration

- 4.3.2.1 The provisions of 2.3.1 apply adapted as required to masters degree programmes.
- 4.3.2.2 The dates on which registration for a masters degree should take place both for the first time and for annual re-registration, are determined in the annual calendar.
- 4.3.2.3 A student who does not register at the time referred to in 4.3.2.2 above may, in the same calendar year, apply to the dean concerned for late registration for which the payment of a penalty may be prescribed by the Registrar.
- 4.3.2.4 The dean concerned has the discretionary authority to set reasonable conditions for such re-admission and must report such conditions to the Vice-Rector.

4.3.3 Registration for additional modules

The provisions of 3.3.2 apply adapted as required to masters degree programmes.

4.3.4 Exemption from registration

A student who still needs to write a paper or make improvements to an examined dissertation or mini-dissertation and who can attain the qualification at the autumn graduation ceremony, does not register for a new year, provided that the examination is successfully completed by the end of January of the new year or the dissertation or mini-dissertation is satisfactorily improved by the end of January of that new year.

4.3.5 Amendment or cancellation of registration

The provisions of 3.3.4 apply adapted as required to masters degree programmes.

4.3.6 Recognition and exemption of modules

- a. A student who has studied at another recognised higher education institution and who applies to register in a master's programme with taught modules at the University, may apply in writing to the dean concerned for recognition or exemption of taught modules required for the qualification programme for which the student wishes to register, provided that the dean may grant recognition or exemption for no more than half the credits allocated to the taught or performing arts modules.
- b. A student who has acquired a qualification from the University or any other recognised higher education institution and who applies for registration in a master's programme with taught modules at the University, may apply in writing to the dean concerned for recognition or exemption of taught modules required for the qualification programme for which the student wishes to register, provided that the dean may grant recognition or exemption for no more than half the credits allocated to the taught or performing arts modules.

4.4 Examination

4.4.1 Nature of examination

For the examination for the purpose of attainment of a masters degree, the following may be required by faculty rules –

- 4.4.1.1 a dissertation only, or
- 4.4.1.2 one or more examination papers and a dissertation, or
- 4.4.1.3 one or more examination papers and a mini-dissertation, or
- 4.4.1.4 a series of manuscripts in article format, or
- 4.4.1.5 in the case of the performing arts, a previously approved concert programme or programmes, a composition portfolio and a mini-dissertation, or
- 4.4.1.6 in the case of the visual arts, a previously approved art exhibition or exhibitions and a mini-dissertation.

4.4.2 Submission of dissertation or mini-dissertation for examination

- 4.4.2.1 A dissertation or mini-dissertation is submitted for examination with the written consent of the supervisor.
- 4.4.2.2 A postgraduate student who is dissatisfied with any aspect of the guidance with which the student was provided by a supervisor or promoter, can raise such matters in writing to the dean. The dean must respond in writing to the student before a dissertation or mini-dissertation is submitted for examination.
- 4.4.2.3 A dissertation or mini-dissertation must be submitted for examination before or on the date annually shown in the time table for the relevant year.
- 4.4.2.4 The physical form and number of copies of a dissertation or mini-dissertation that must be submitted for examination, and after successful examination be submitted for safekeeping, are determined by the Registrar.
- 4.4.2.5 Where the supervisor withholds permission for the submission for examination of a dissertation or mini-dissertation, the relevant research director or research entity leader, or where applicable, the relevant school director, may after consultation with the supervisor and the student, recommend the granting of leave for submission to the dean.
- 4.4.2.6 A dissertation or mini-dissertation must comply with the technical requirements provided for in faculty rules.
- 4.4.2.7 At submission for examination a dissertation or mini-dissertation must, except for a title, also contain a summary of no more than 500 words and five to ten descriptive key terms in the language in which the document is written.
- 4.4.2.8 With the submission of any dissertation or mini-dissertation which is not submitted in the form of a series of manuscripts in article format, faculty rules may also require proof that the candidate submitted a research article to an accredited journal.
- 4.4.2.9 Where a candidate is allowed to submit a dissertation or mini-dissertation in the form of a published research article or articles or as an unpublished manuscript or manuscripts in article format and more than one such article or manuscript is used, the dissertation or mini-dissertation must still be presented as a unit, supplemented with an inclusive problem statement, a focused literature analysis and integration and with a synoptic conclusion, and the guidelines of the journal concerned must also be included.
- 4.4.2.10 Where any research article or manuscript and/or internationally examined patent is used for the purpose of a dissertation or mini-dissertation in article format to which other authors and/or inventors than the candidate contributed, the candidate must obtain a written statement from each co-author and/or co-inventor in which it is stated that such co-author and/or co-inventor grants permission that the research article or manuscript and/or patent may be used for the stated purpose and in which it is further indicated what each co-author's and/or co-inventor's share in the relevant research article or manuscript and/or patent was.
- 4.4.2.11 Where co-authors or co-inventors as referred to in 4.4.2.9 above were involved, the candidate must mention that fact in the preface and must include the statement of each co-author or co-inventor in the dissertation or mini-dissertation immediately following the preface.
- 4.4.2.12 After the dissertation or mini-dissertation has been dispatched to the examiners, a copy thereof must be made available for inspection for at least 14 calendar days in the campus library concerned, and notice of such availability must be given in a suitable manner.
- 4.4.2.13 After a dissertation or mini-dissertation has been submitted for examination, the document may not be withdrawn.

- 4.4.2.14 Where a candidate, in the case of the performing arts, completed an approved concert programme, the candidate must also submit a manuscript that complies with the requirements for a mini-dissertation or research article, together with a digital sound and/or video recording in a previously approved format, of the concert.
- 4.4.2.15 Where a candidate, in the case of the visual arts, presented an approved exhibition, the exhibition must be assembled and a manuscript must be submitted which complies with the requirements for a dissertation or a research article together with a series of photographs in an approved format of the works in the exhibition.

4.4.3 Examiners and moderators

- 4.4.3.1 For the examination of every dissertation or mini-dissertation at least two examiners, of which at least one must be an external examiner¹⁰, must be appointed by the dean in accordance with the provisions of the applicable faculty rules and in consultation with the research director or research entity leader concerned, or where applicable, the school director concerned to conduct the assessment of the student's performance in an examination.
- 4.4.3.2 The names of the examiners are not made known to the candidate without the permission of the examiners concerned.
- 4.4.3.3 No examiner of a dissertation or mini-dissertation may in any manner have been involved in the supervision of the student.

4.4.4 Examination

- 4.4.4.1 The examination of a module in a taught masters degree is moderated externally unless the module is examined externally.
- 4.4.4.2 The examiners of a dissertation or mini-dissertation are requested to provide an assessment of the question whether the dissertation or mini-dissertation contains proof of the candidate's independent ability to do research in the relevant field of study and to report such research results satisfactorily.
- 4.4.4.3 The supervisor, co-supervisor or assistant supervisor does not communicate or negotiate with the examiners about the examination after the examination copies of the dissertation or mini-dissertation have been dispatched to the examiners.
- 4.4.4.4 Each examiner separately submits a written report on the dissertation or mini-dissertation to Academic Administration (post-graduate), which provides the examiners' reports to the research director or research entity leader concerned, or where applicable, to the school director concerned, for processing and finalization by the faculty board concerned.
- 4.4.4.5 All examination reports must be considered by the relevant faculty structure.
- 4.4.4.6 An examiner may recommend that a dissertation or mini-dissertation –
 - 4.4.4.6.1 be accepted unconditionally; or
 - 4.4.4.6.2 be accepted on condition that specified corrections be made, in which case the supervisor is responsible, in consultation with the research director or research entity leader concerned, or where applicable, the school director concerned, to provide the candidate within 14 calendar days after receipt of all the examiners' reports with a memorandum setting out the specified corrections required; or
 - 4.4.4.6.3 be referred back to the candidate for revision and/or elaboration and resubmission for re-examination, in which case the supervisor is responsible, in consultation with the research director or research entity leader concerned, or where applicable, the school director concerned, to provide the candidate within 14 calendar days after receipt of all the examiners' reports with a memorandum setting out the nature and extent of the revision or elaboration required; or
 - 4.4.4.6.4 not be accepted, in which case the candidate fails.
- 4.4.4.7 Where a dissertation or mini-dissertation is referred back to a candidate as referred to in 4.4.4.6.2 and 4.4.4.6.3 above, the resubmission must take place within 1 year after the result was made known to the candidate, unless the dean concerned is convinced that valid reasons for an extension exist.

¹⁰ An "external examiner" is a person not in the employ of the University and who conducts the examination of a module. In the case of a masters degree an "external examiner" is a person not in the employ of the University and who conducts the examination of a module, mini-dissertation or dissertation. In the case of a doctoral degree an "external examiner" is a person not in the employ of the University and who conducts the examination of a thesis.

- 4.4.4.8 A dissertation or mini-dissertation may only once be referred back to a candidate and after revision be re-submitted for examination.
- 4.4.4.9 A revised or elaborated dissertation or mini-dissertation may only be submitted for re-examination referred to in 4.4.4.6.3 after the next occasion on which degrees are conferred, and also before or on the submission date determined in the time table of the year concerned.
- 4.4.4.10 Where a student, in the unanimous judgment of the examiners passes in any examination, such a result is final, subject to 4.4.5.2.

4.4.5 Vagueness or differences regarding examination results

- 4.4.5.1 The dean may in consultation with the research director or research entity leader concerned, or where applicable, the school director concerned, clarify with the examiners anything that is not clear in an examiner's report.
- 4.4.5.2 Any comments that arise from the inspection referred to in 4.4.2.12 must, within 14 calendar days after the date of the notice of availability for inspection be submitted to the dean concerned. The dean must request the relevant faculty structure to evaluate the comments along with the examiner reports, and if such comments on merit appears to be fundamentally different from the reports of the examiners, must appoint an external expert¹¹ who must specifically evaluate the comments received in relation to the examiner reports, and whose recommendation must be taken into account by the relevant faculty structure.
- 4.4.5.3 Where, in the case of any taught module, the examiners are not unanimous about a student's passing of the module, the final decision vests in the dean after receiving such advice as the dean considers to be necessary.
- 4.4.5.4 Where the examiners differ materially about the evaluation of a dissertation or mini-dissertation, the dean appoints an additional external examiner or examiners, or takes other discretionary steps that may be necessary to ensure that a fair and academically justifiable examination result is obtained.

4.4.6 Number of examination opportunities

- 4.4.6.1 A student who fails one or more of the modules of a Masters study in an examination may be granted a second examination opportunity in the module(s) concerned by the dean concerned after consultation with the school director, except where faculty rules provide otherwise.
- 4.4.6.2 A student may, within the maximum period allowed for the study, repeat examination papers once in modules not exceeding 25% of the curriculum concerned.
- 4.4.6.3 A student who, after making use of all the available examination opportunities, passed all the modules required in a Masters programme except one, may apply to the dean concerned for a final assessment opportunity in the outstanding module, for which payment of the required amount, but not registration, is required.

4.4.7 Dispute resolution

- 4.4.7.1 A postgraduate student to whom the degree concerned is not awarded after examination may, in case of dissatisfaction with any aspect with the procedures followed in the examination of the thesis, dissertation or mini-dissertation concerned, after exhaustion of all avenues provided for by these rules to dispense with the dissatisfaction, declare a dispute with the University by written notice to the Institutional Registrar within 14 days after communication of a formal decision to this effect.
- 4.4.7.2 After having received notice of a dispute, the Institutional Registrar convenes a panel consisting of at least two deans not previously involved in the matter to adjudicate within 14 days on the merits of the dispute.
- 4.4.7.3 After having considered all the facts, the panel may:
 - 4.4.7.3.1 Confirm that the correct procedures were followed and that the dispute has no merit;
 - 4.4.7.3.2 Refer the matter back to the dean or examination committee concerned for review of particular relevant aspects; or
 - 4.4.7.3.3 Refer the matter for arbitration.

¹¹ An external expert must at least have a doctorate or an equivalent qualification and sufficient experience of research in the relevant field of study, and may not be a member of the faculty concerned.

- 4.4.7.4 If the panel refers the matter for arbitration, the Institutional Registrar must request the dean concerned to submit within three weeks, the name and details of an arbiter upon whom the student and the dean have agreed.
- 4.4.7.5 The proposed arbiter must at least have a doctorate or an equivalent qualification and sufficient experience of research in the relevant field of study and must be informed, or be prepared to become informed about the arbitration procedures contained in the latest edition of the *Rules for the Conduct of Arbitrations of the Association of Arbitrators (Southern Africa)* and to apply these rules in the arbitration process.
- 4.4.7.6 If the student and dean concerned cannot agree on the designation of an arbiter, the Institutional Registrar must take all reasonable steps to bring about such a designation within a reasonable time.
- 4.4.7.7 The arbiter settles the dispute in accordance with the arbiter's own judgment following the rules referred to in 4.4.7.5.
- 4.4.7.8 The arbiter is entitled to make an award *inter alia* for specific performance, issue an interdict, award damages and/or impose a fine, and can make a cost order, including costs regarding legal representation on an attorney-client scale or any other order the arbiter considers to be appropriate in the circumstances.
- 4.4.7.9 The arbiter's decision is final and binding on both the student and the University.

4.4.8 Publication of dissertations or mini-dissertations

- 4.4.8.1 The University is the owner of all intellectual property that may be created in the course of the study, which includes, but is not limited to intellectual property referred to in the *Intellectual Property Rights from Publicly Financed Research and Development Act, 51 of 2008* and the regulations promulgated there under.
- 4.4.8.2 The University is entitled to physically or electronically multiply and distribute or make available any dissertation or mini-dissertation in the final form submitted by the candidate.
- 4.4.8.3 Where the University publishes or causes a dissertation or mini-dissertation to be published other than in its original form, the candidate is acknowledged as the first author, except where substantial processing of the text was undertaken with the candidate's permission in writing for the purpose of its publication; provided that, six months after acceptance of the dissertation or mini-dissertation, and the candidate, after notification, not having undertaken publication, such publication may be undertaken without the written permission, but with citation of the name, of the candidate.
- 4.4.8.4 A candidate may not publish or otherwise distribute or have the dissertation or mini-dissertation published or distributed otherwise without the previously obtained written permission of the vice-rector responsible for research concerned. Such permission, if granted, may be subject to such terms and conditions as the Vice-Rector may determine.
- 4.4.8.5 At the publication of a dissertation or mini-dissertation or a part or a summary or an adaptation thereof by the candidate, it must be mentioned that it is the result of a masters degree study at the University and the name or names of the supervisor or supervisors must be cited.

4.4.9 Upgrade of masters degree study to doctoral study

- 4.4.9.1 A candidate registered for a masters degree study who, in the unanimous opinion of the supervisor concerned, the research director or research entity leader concerned, or where applicable, the school director concerned, has achieved outcomes of a quality and extent acceptable for a doctoral degree, may apply to the faculty board concerned to convert the registration for a masters degree to that for a doctoral degree.

4.4.9.2 A candidate to whom such a concession is made:

- 4.4.9.2.1 must, where applicable, successfully complete the paper component of the masters degree examination before the thesis may be submitted;
- 4.4.9.2.2 must comply with all the rules and requirements set by the University regarding a doctoral degree; and
- 4.4.9.2.3 only receives the doctoral degree after the number of credits for the masters degree papers, where applicable, have been attained and the minimum period required for the registration of the doctoral degree, has expired.

4.4.10 Extension of the study period

- 4.4.10.1 A candidate who does not expect to complete the study within the maximum time period must, before the end of the final study year apply to the research director or research entity leader concerned, or where applicable, to the school director concerned for an extension of the study period with one year.
- 4.4.10.2 The research director or research entity leader concerned, or where applicable, the school director concerned makes a recommendation regarding the extension of the study period to the dean for finalisation.
- 4.4.10.3 An application for extension of the study period must take the form of a submission in which it is indicated -
- 4.4.10.3.1 that the research topic is still relevant;
 - 4.4.10.3.2 what progress has been made;
 - 4.4.10.3.3 what still needs to be done to complete the study;
 - 4.4.10.3.4 what the time schedule for completion is, and
 - 4.4.10.3.5 whether the supervisor is still available.
- 4.4.10.4 If the study period is extended, it will be granted against payment of a levy determined from time to time.

4.4.11 Termination of study

- 4.4.11.1 The campus rector concerned may, in terms of the faculty rules and on recommendation of the research director or research entity leader concerned, or where applicable, to the school director concerned, terminate a student's study if the student –
- 4.4.11.1.1 fails to comply with all the requirements of Senate or the faculty; or
 - 4.4.11.1.2 exceeds the maximum duration of the study period as determined by faculty rules; or
 - 4.4.11.1.3 after being granted an extended study period referred to in 4.4.10, still fails to complete the study.
- 4.4.11.2 In the event of an application for re-admission by a student whose study has been terminated, the dean concerned has the discretionary authority to set reasonable conditions for such re-admission and must report such conditions to the Vice-Rector.

4.4.12 Classification of dissertations and mini-dissertations

Where a dissertation or mini-dissertation is classified in terms of Senate policy, effect is given in the examination process to the rules laid down by Senate for the purpose.

4.5 Attainment of the degree

4.5.1 Meeting the requirements

The masters degree is attained when a student has passed in the examination of all the modules, mini-dissertation and/or dissertation prescribed in faculty rules for the curriculum concerned.

4.5.2 Distinction

A module, mini-dissertation or dissertation is passed with distinction where, at the examination thereof an average mark of at least 75% is awarded and the degree is passed with a distinction where a weighted average of at least 75% is achieved in all the elements examined.

5 Doctoral degrees

5.1 Structure of the qualification

- 5.1.1 The structure of a doctoral degree is prescribed by faculty rules and may be acquired through the –
- 5.1.1.1 writing of a thesis; or
 - 5.1.1.2 writing of a series of original articles; or
 - 5.1.1.3 registration of an internationally examined patent; or
 - 5.1.1.4 performance of a concert series; or
 - 5.1.1.5 compilation of a composition portfolio, or
 - 5.1.1.6 presentation of an art exhibition,
- provided that the research product submitted for examination makes a distinct contribution to the knowledge of and insight into a subject field and produces proof of originality, either by the revelation of new facts or by the exercising of an independent critical capacity.
- 5.1.2 The curriculum for a particular doctoral degree or the framework within which such curriculum may be compiled, is prescribed in faculty rules.

5.2 Admission requirements

The admission requirements for all formal academic qualifications offered by the University are set out in the Admission Policy as approved by Senate and Council (http://www.nwu.ac.za/content/policy_rules).

5.3 Registration

5.3.1 Research proposal and title registration

- 5.3.1.1 Unless faculty rules expressly provide otherwise, the student must within six months after registration and in consultation with a possible promoter present a research proposal and title registration to a body determined by faculty rules for approval, which body formalises the appointment of a promoter and where necessary co- or assistant promoters in consultation with the directors having an interest therein.
- 5.3.1.2 If a student fails to submit a research proposal as referred to in 5.3.1.1 above in time for approval, the study may be terminated.
- 5.3.1.3 If, in any year, a student fails to re-register as student at the time set down therefore in the institutional calendar, the faculty board concerned may, only in the case of research done within a research entity, assign the topic of the thesis, if already registered, to another student in the same research entity.

5.3.2 Annual registration

- 5.3.2.1 The provisions of 2.3.1 apply adapted as required to doctoral degree programmes.
- 5.3.2.2 The dates on which registration for a doctoral degree should take place both for the first time and for annual re-registration, are set down annually in the institutional calendar in advance.
- 5.3.2.3 A student who does not register at the time referred to in 5.3.2.2 above may, in the same calendar year, apply to the dean concerned for late registration for which the payment of a penalty may be prescribed by the Registrar.
- 5.3.2.4 A student who does not register in a particular year, but who wishes to continue the study in the subsequent year, must apply for readmission to the relevant dean.

5.3.3 Exemption from registration

A student who must make improvements to an examined thesis and who can attain the qualification at the autumn graduation ceremony, does not register for a new year, provided that the thesis is improved satisfactorily in time.

5.3.4 Amendment or cancellation of registration

Registration for a doctoral degree may be amended at no cost within the time period determined annually for such amendments by the Registrar and cancellation of such registration may be requested at any time.

5.3.5 Recognition and exemption of modules

A student who has studied at another recognised higher education institution and who applies to register in a doctoral programme with modules at the University, may apply in writing to the dean concerned for recognition or exemption of modules required for the qualification programme for which the student wishes to register, provided that the dean may grant recognition or exemption for no more than half the credits allocated to the taught or performing arts modules.

5.4 Examination

5.4.1 Nature of examination

For the examination regarding the attainment of a doctoral degree the following may, subject to the proviso in 5.1.1 be required by faculty rules –

- 5.4.1.1 a thesis, or
- 5.4.1.2 a series of manuscripts in article format, or
- 5.4.1.3 a patent, or
- 5.4.1.4 in the case of the performing arts, a previously approved concert programme or programmes, a composition portfolio and a written piece of doctoral standard, or
- 5.4.1.5 in the case of the visual arts, a previously approved art exhibition or exhibitions and a written piece of doctoral standard, and
- 5.4.1.6 A colloquium that may be required for the defence of the thesis.

5.4.2 Submission of thesis for examination

- 5.4.2.1 A thesis must be submitted for examination before or on the date determined annually in the time table for the relevant year.
- 5.4.2.2 The format and number of copies of a thesis that must be submitted for examination, and after successful examination be submitted for safekeeping, are outlined in the manual for post-graduate supervision.
- 5.4.2.3 A thesis is submitted for examination with the written consent of the promoter.
- 5.4.2.4 Where the promoter withholds permission for the submission for examination of a thesis, the relevant research director or research entity leader, or where applicable, the relevant school director may after consultation with the promoter and the candidate recommend the granting of leave for submission to the dean.
- 5.4.2.5 A thesis must comply with the technical requirements provided for in faculty rules.
- 5.4.2.6 With the submission of any thesis the candidate, with the concurrence of the promoter, must submit proof that a research article was submitted to an accredited journal.
- 5.4.2.7 Where a candidate is permitted to submit a thesis in the form of a published research article or articles or as an unpublished manuscript or manuscripts in article format and more than one such article or manuscript is used, the thesis must still be presented as a unit, supplemented with an inclusive problem statement, a focused literature analysis and integration and with a synoptic conclusion, and the guidelines of the journal concerned must also be included
- 5.4.2.8 Where any research article or manuscript and/or internationally examined patent is used for the purpose of a thesis in article format to which other authors and/or inventors than the candidate contributed, the candidate must obtain a written statement from each co-author and/or co-inventor in which it is stated that such co-author and/or co-inventor grants permission that the research article or manuscript and/or patent may be used for the stated purpose and in which it is further indicated what each co-author's and/or co-inventor's share in the relevant research article or manuscript and/or patent was.
- 5.4.2.9 Where co-authors or co-inventors as referred to in 5.4.2.8 above were involved, the candidate must mention that fact in the preface and must include the statement of each co-author or co-inventor in the thesis immediately following the preface.
- 5.4.2.10 After the thesis has been dispatched to the examiners, a copy thereof must be made available for inspection for at least 14 calendar days in the campus library concerned, and notice of such availability must be given in a suitable manner. The dean must request the relevant faculty structure to evaluate the comments along with the examiner reports, and if such comments on merit appears to be fundamentally different from the reports of the examiners, must appoint an

external expert who must specifically evaluate the comments received in relation to the examiner reports, and whose recommendation must be taken into account by the relevant faculty structure.

- 5.4.2.11 After a thesis has been submitted for examination, the document may not be withdrawn.
- 5.4.2.12 Where a candidate, in the case of the performing arts, completed an approved concert programme, the candidate must also submit a manuscript that complies with the requirements for a written piece of doctoral quality, together with a digital sound and/or video recording, in a previously approved format, of the concert.
- 5.4.2.13 Where a candidate, in the case of the visual arts, presented an approved exhibition, the exhibition must be assembled and a manuscript must be submitted which complies with the requirements for a written piece of doctoral quality together with a series of photographs in an approved format of the works in the exhibition.

5.4.3 Examiners

- 5.4.3.1 For the examination of every thesis at least three examiners must be appointed by the dean in accordance with the provisions of the applicable faculty rules and in consultation with the research director or research entity leader concerned, or where applicable, the school director concerned, of which the majority must be external examiners attached to different institutions.
- 5.4.3.2 The names of the examiners are not made known to the candidate without the permission of the examiners concerned.
- 5.4.3.3 No examiner of a thesis may in any manner have been involved in the supervision of the student.

5.4.4 Examination

- 5.4.4.1 The examiners of a thesis are requested to provide an assessment of the question whether the thesis contains proof that the candidate has made a distinct scholarly contribution to the knowledge and insight in the field and of originality, either by way of the pronouncement and dissemination of new facts or by means of the exercise of independent critical skills.
- 5.4.4.2 The promoter, co-promoter or assistant promoter does not communicate or negotiate with the examiners about the examination after the examination copies of the thesis have been dispatched to the examiners.
- 5.4.4.3 Each examiner separately submits a written report on the thesis to Academic Administration (post-graduate), which provides the examiners' reports to the research director or research entity director concerned, or where applicable, to the school director concerned, for processing and finalization by the faculty board concerned.
- 5.4.4.4 All examination reports must be considered by the relevant faculty structure.
- 5.4.4.5 An examiner may recommend that a thesis –
 - 5.4.4.5.1 be accepted unconditionally; or
 - 5.4.4.5.2 be accepted on condition that specified corrections be made, in which case the promoter is responsible to, in consultation with the research director or research entity leader concerned, or where applicable, the school director concerned, provide the candidate within 14 calendar days after receipt of all the examiners' reports with a memorandum setting out the specified corrections required; or
 - 5.4.4.5.3 be referred back to the candidate for revision and/or elaboration and resubmission for re-examination, in which case the promoter is responsible to, in consultation with the research director or research entity leader concerned, or where applicable, the school director concerned, provide the candidate within 14 calendar days after receipt of all the examiners' reports with a memorandum setting out the nature and extent of the revision or elaboration required; or
 - 5.4.4.5.4 not be accepted, in which case the candidate fails.
- 5.4.4.6 Where a thesis is referred back to a candidate as referred to in 5.4.4.5.3 above, the resubmission must take place within 1 year after the result was made known to the candidate, unless the dean concerned is convinced that valid reasons for an extension exist.
- 5.4.4.7 A thesis may only once be referred back to a candidate and after revision be re-submitted for examination.
- 5.4.4.8 A revised or elaborated thesis may only be submitted for re-examination referred to in 5.4.4.5.3 after the next occasion on which degrees are conferred, and also before or on the submission date determined in the time table of the year concerned.

- 5.4.4.9 Where it is the unanimous judgment of the examiners that a candidate should pass, such a result is final, subject to 5.4.5.2.

5.4.5 Vagueness or differences regarding examination results

- 5.4.5.1 The dean may in consultation with the research director or research entity leader concerned, or where applicable, the school director concerned, clarify with the examiners anything that is not clear in an examiner's report.
- 5.4.5.2 Any comments that arise from the inspection referred to in 5.4.2.10 must, within 14 calendar days after the date of the notice of availability for inspection be submitted to the dean concerned. The dean must request the relevant faculty structure to evaluate the comments along with the examiner reports, and if such comments on merit appears to be fundamentally different from the reports of the examiners, must appoint an external expert who must specifically evaluate the comments received in relation to the examiner reports, and whose recommendation must be taken into account by the relevant faculty structure.
- 5.4.5.3 Where the examiners differ materially about the evaluation of a thesis the dean appoints an additional external examiner or examiners, or takes other discretionary steps that may be necessary to ensure that a fair and academically justifiable examination result is obtained.

5.4.6 Number of examination opportunities

A student who fails a thesis may apply at most once to be re-admitted to the same qualification programme at the University.

5.4.7 Dispute resolution

The provisions of 4.4.7 apply adapted as required to doctoral degree programmes.

5.4.8 Publication of thesis

- 5.4.8.1 The University is the owner of all intellectual property that may be created in the course of the study, which includes, but is not limited to intellectual property referred to in the *Intellectual Property Rights from Publicly Financed Research and Development Act*, 51 of 2008 and the regulations promulgated there under.
- 5.4.8.2 The University is entitled to physically or electronically multiply and distribute or make available any thesis in the final form submitted by the candidate.
- 5.4.8.3 Where the University publishes or causes a thesis to be published other than in its original form, the candidate is acknowledged as the first author, except where substantial processing of the text was undertaken with the candidate's permission in writing for the purpose of its publication; provided that, six months after acceptance of the thesis, such publication may be undertaken without the permission, but with citation of the name of the candidate.
- 5.4.8.4 A candidate may not publish or otherwise distribute or have the thesis published or distributed otherwise without the previously obtained written permission of the vice-rector responsible for research concerned.
- 5.4.8.5 At the publication of a thesis or a part or a summary or an adaptation thereof by the candidate, it must be mentioned that it is the result of a doctoral degree study at the University and the name or names of the promoter or promoters must be cited.

5.4.9 Additional examination requirements

Faculty rules may set additional requirements for the attainment of a doctoral degree, in which case the dean may, on recommendation of the research director or research entity leader, or where applicable, the school director, appoint examiners for such purpose.

5.4.10 Extension of the study period

- 5.4.10.1 A candidate who does not expect to complete the study within the maximum time period must, before the end of the final study year apply to the research director or research entity leader concerned, or where applicable, to the school director concerned for an extension of the study period with one year.
- 5.4.10.2 The research director or research entity leader concerned, or where applicable, the school director concerned makes a recommendation regarding the extension of the study period to the dean for finalisation.

- 5.4.10.3 An application for extension of the study period must take the form of a submission in which it is indicated -
- 5.4.10.3.1 that the research topic is still relevant;
 - 5.4.10.3.2 what progress has been made;
 - 5.4.10.3.3 what still needs to be done to complete the study;
 - 5.4.10.3.4 what the time schedule for completion is, and
 - 5.4.10.3.5 whether the promoter is still available.

5.4.10.4 If the study period is extended, it will be granted against payment of a levy determined from time to time by the Registrar.

5.4.11 Termination of study

5.4.11.1 The campus rector concerned may, in terms of faculty rules and on recommendation of the research director or research entity leader concerned, or where applicable, to the school director concerned, terminate a student's study if the candidate –

- 5.4.11.1.1 fails to comply with all the requirements of Senate or the faculty; or
- 5.4.11.1.2 exceeds the maximum duration of the study period as determined by faculty rules; or
- 5.4.11.1.3 after being granted an extended study period referred to in 5.4.10 still fails to complete the study.

5.4.11.2 A student whose study has been terminated may apply to the Campus Rector concerned by means of the usual application form for readmission to the University, in which case the readmission is subject to the conditions laid down by the dean.

5.4.12 Classification of thesis

Where a thesis is classified confidential in terms of Senate policy, effect is given in the examination process to the rules laid down by Senate for the purpose.

5.5 Attainment of the degree

The doctoral degree is attained when a student complies with all the requirements prescribed therefor in faculty rules.

PQM

The Programme and Qualification Mix (PQM) of the North-West University is available on request from Prof M Oosthuizen at 23405503@nwu.ac.za.