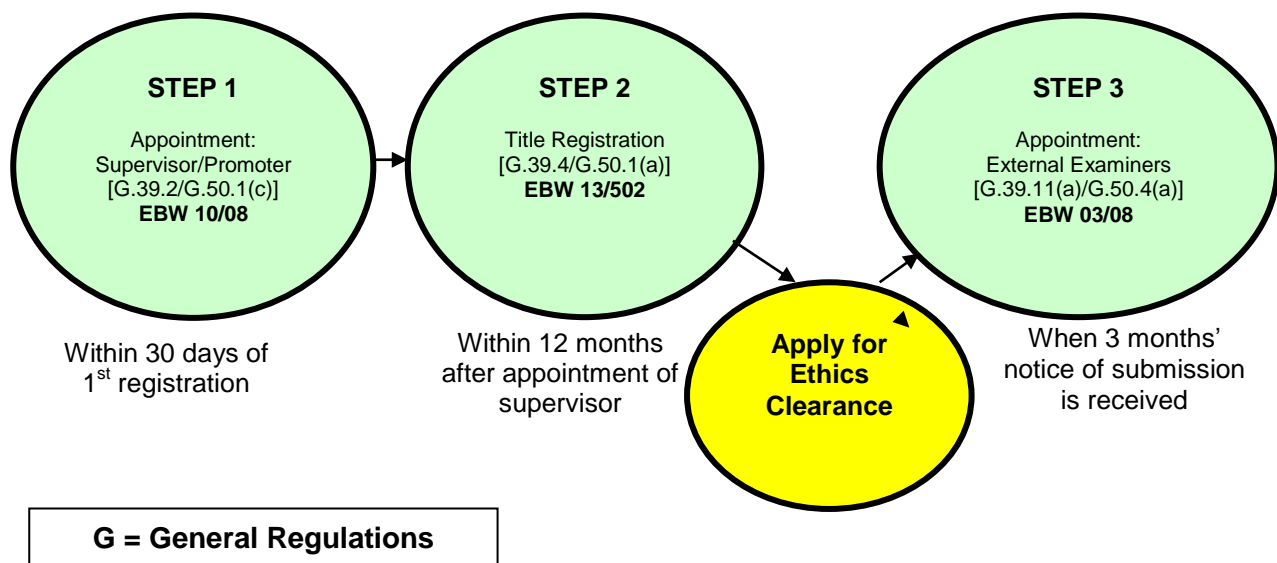# POSTGRADUATE PROCESS

3-Tier Process

The **3-tier process** regulating postgraduate studies in the Faculty, approved by the Faculty Board in July 2008, is described below.

STEP 1

Appointment:
Supervisor/Promoter
[G.39.2/G.50.1(c)]
EBW 10/08

STEP 2

Title Registration
[G.39.4/G.50.1(a)]
EBW 13/502

STEP 3

Appointment:
External Examiners
[G.39.11(a)/G.50.4(a)]
EBW 03/08

Within 30 days of
1st registration

Within 12 months
after appointment of
supervisor

**Apply for
Ethics
Clearance**

When 3 months'
notice of submission
is received

G = General Regulations

STEP 1

Appointment of Supervisor/Promoter [General Regulations - G.39.2 and G.50.1(c)]

Within 30 days of a postgraduate candidate's date of first registration, the Postgraduate Committee, on the recommendation of the Head of Department, designates a supervisor and co-supervisor for that candidate. If a nominated supervisor or co-supervisor is from outside UP, the appointment form must be accompanied by a full academic CV of that nominee.

- The form *Appointment of Supervisor/Co-supervisor/Promoter/Co-promoter* (EBW10/08) must be completed and signed by the Head of Department and submitted to the Secretariat of the Postgraduate Committee.

  The Postgraduate Committee confirms the approval in writing to the **Head of Department**.

- A *Memorandum of Agreement* [General Regulations G.39.3(a) and G50.1.(c)(vi)] between the supervisor and candidate must be completed **within 30 days after appointment of the supervisor** and signed by both parties, the **original** forwarded to the **Head: Student Administration** and a copy to be kept in the supervisor's student file. The following documents must be provided to the candidate:

  - Code of Research Ethics
  - Guidelines for Ethical Research
  - Plagiarism Policy

STEP 2

Title registration [General Regulations – G.39.4 and G.50.1(a)]

Once the appointment of the supervisor has been confirmed, the title may be registered. Applications for approval of titles, as well as amendments of titles, are submitted to the Postgraduate Committee on recommendation of the relevant Supervisor and Head of Department as soon as possible, but a working title should be registered **within 12 months of first registration.**

- **Formulation of titles**

    - Don't type the full title in capital letters. The current convention is to use lower case and not capital letters for titles. Upper case is used only for the **first letter of the title** and for **proper nouns.**
    - **English (UK)** is the language standard for the spelling of words in the title.
    - Ensure that the title is grammatically correct.
    - The title should not contain the method of study, which would rather appear in the abstract.
    - Colons should only be used in a title when it is imperative to reflect the specificity of the research. If used, **colons in titles are followed by a lower case, not a capital letter.**
    - The use of abbreviations/acronyms in titles is strongly discouraged. Write out the full words/meaning and only use the abbreviation in the body of the research text. Universally accepted and understood abbreviations and acronyms may be considered on merit.
    - All research material should contain the title as approved by the Postgraduate Committee.

- The form *Title Registration: Dissertations/Theses* (EBW13/502) must be completed and signed by the supervisor, departmental representative of the Postgraduate Committee and the Head of Department, and submitted to the Secretariat of the Postgraduate Committee.

    The supervisor is informed in writing, copied to the Head of Department, whether the title has been approved or is referred back for reconsideration. If **referred back**, a **new application form** with the reformulated title must be submitted for the Postgraduate Committee's approval.

    The Postgraduate Committee's forms and **meeting dates** for the year**,** including the **deadline dates for submissions,** will be announced annually after the November meeting. These dates will be available at the link http://www.up.ac.za/ems-docs.

PLEASE NOTE

- The Postgraduate and Ethics Committees do not communicate directly with postgraduate students.
- All communications are directed to the SUPERVISOR/PROMOTER, who in turn advises the student accordingly.

Step 3

Appointment of External Examiners [General Regulations – G.39.11(a) and G.50.4(a)]

As soon as the candidate submits his/her **three months' notice of intent to submit,** external examiners must be appointed for the candidate.

- The form *Appointment of Examiners for Dissertations/Theses* (EBW 03/08), must be completed and signed by the supervisor, departmental representative of the Postgraduate Committee and Head of Department, and submitted to the Secretariat of the Postgraduate Committee. The Postgraduate Committee selects the examiners from the nominees provided.

    NB:

    - **Dissertations**: At least **3 examiners** must be nominated.
    - **Theses**: At least **5 examiners** must be nominated**,** of whom **at least 2** must be from **international tertiary institutions.**

Faculty of Economic and Management Sciences
Fakulteit Ekonomiese en Bestuurswetenskappe
Lefapha la Disaense tša Ekonomi le Taolo

- Proposed examiners for a particular candidate may not be from the same tertiary institution.
- Proposed examiners may not have co-authored publications with the supervisor in the past five years.
- A summary of the thesis/dissertation in English of not more than 250 words must be attached (General Regulations G.39.11(a)(vi) and G.50.4(a)(vii)]
- Academic curricula vitae must be attached for all prospective examiners.
- A department may not appoint a specific examiner more than 3 times in a 5-year cycle.
- Persons not affiliated with an academic institution may not be appointed as external examiners without valid motivation.
  "Proposal of examiners who are not from academic institutions, or who are from institutions whose stature is not obvious, needs to be based on a demonstration that they are academic leaders in their field of expertise." (Prof Robin Crewe, former Vice Principal: Research and Postgraduate Studies)

All **original** documents for consideration by the Postgraduate Committee are to be submitted to the Committee Secretariat (details below) by the communicated deadlines.

> **Marcél Deysel**
> **Room 2-16**
> **EMS Building**

ETHICS CLEARANCE:

- **When steps 1 and 2 above have been completed,** the application for ethics clearance follows.
- The preliminary literature study for purposes of the proposal and also the research design – specifically the measurement instrument, research population and the data collection procedures – must be completed and the Application for Ethics Clearance submitted prior to data collection.
- Commencing **from January 2019**, all applications for ethics clearance will be managed electronically on the University's Ethics Applications and Approval system, accessed via the UP Portal. User manuals for the process are available at the link http://www.up.ac.za/ems-docs.
- Any queries regarding the application process may be referred to:
  > **Marcél Deysel**
  > **Room 2-16**
  > **EMS Building**

The **supervisor** is informed in writing whether the application has been approved or referred back for amendment. The supervisor is responsible for informing the student of the outcome of the application.

The Research Ethics Committee's **meeting dates**, including the **deadline dates for submission of applications**, are available at the link http://www.up.ac.za/ems-docs.

Important information regarding ethics clearance:

- "Research may not be undertaken by postgraduate students [or staff of the Faculty] without prior written approval by the Faculty's Committee for Research Ethics."
  (*UP Guidelines for Ethical Research, 2.3 (S4083/00 (amended))*)

- "Where a student submits a thesis without the necessary ethics clearance, the thesis may not be submitted for examination and the work has to be repeated after ethics clearance has been obtained. In cases like this there is no appeal against the decision of the Ethics Committee. The student and the supervisor may be subject to disciplinary procedures of the University for this transgression."
  (*S4440/09 – Senate Committee for Research Ethics and Integrity*)

- **Applications for ethics clearance are compulsory** from the inception of the Faculty's Committee for Research Ethics in 2004.

- Application for ethics clearance follows **after the title has been approved** by the Postgraduate Committee (**Step 2** above).

Faculty of Economic and Management Sciences
Fakulteit Ekonomiese en Bestuurswetenskappe
Lefapha la Disaense tša Ekonomi le Taolo