



**National review of doctoral degrees
offered by higher education institutions
in South Africa**

**INSTITUTIONAL SELF-EVALUATION
REPORT TEMPLATE**

April 2019

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Page 1 of 12

Introduction

This template prescribes the format of the self-evaluation report (SER) of an institution, reporting the results of the evaluation of existing institutional quality assurance arrangements for studies leading to the award of Doctoral Degrees, evaluated with reference to the *Qualification Standard for Doctoral Degrees* approved by the Council on Higher Education.

This template must be used in conjunction with the *Qualification Standard for Doctoral Degrees*. The format of the template (Sections 1-5) follows the format of the Standard.

The rationale, context and purpose of the self-evaluation process are explained in the *Manual for the National Review of Doctoral Qualifications*. The Manual also includes guidelines for the self-evaluation process and how to prepare the Self-evaluation Report (SER) on the basis of this template.

The self-evaluation should cover policies, protocols and procedures related to doctoral education at your institution as well as its implementation, with evidence to substantiate the findings, conclusions and claims of the institution.

The response of the institution to the questions posed in the template should preferably be in the form of a narrative reporting the findings at an aggregated level (that is, for the institution as a whole), based on the institution's analysis of its doctoral qualification(s) offered in all fields and disciplines. Where appropriate, some specific examples may be included in the narrative by way of illustration. The self-evaluation should refer to areas in which your institution regards its doctoral qualification(s) as meeting the Standard, as well as areas in which improvement is needed.

Evidence can be provided in the form of policy documents, information on implementation (including data provided in the appendices as well as any other data necessary for clarification of claims made), reports, survey results with explanations, *et cetera*. The evidence can be incorporated in the text of the SER (taking into account that the text of the SER should preferably not exceed 80-90 pages) and/or it can be presented in the form of appendices (as explained in the Manual) with cross-references in the text of the SER.

Title page

Name of institution

Doctoral qualification(s) offered

Abbreviation	Full title

Site(s) of delivery

Institutional endorsement

I confirm that the self-evaluation report has been prepared with appropriate participation by all parties involved in Doctoral degrees, and that the report has been endorsed by the executive authority of the institution.

Signature (Head of institution or delegated authority)

Name

Position

Date

Preparation of the Self-Evaluation Report

Please describe the process involved in the preparation of the self-evaluation report, including details of any meetings and workshops that accompanied the drafting, the range of participatory involvement (formal entities, *ad hoc* groups, etc.), and the process of formal institutional approval.

The Preamble and Rationale of the Qualification Standard for Doctoral Degrees

- 1. With reference to the Preamble and Rationale in the *Qualification Standard for Doctoral Degrees*, briefly (a) describe the history and scope of your institution's offering of doctoral qualifications, (b) explain how your doctoral qualifications address the values and ethos expressed in the Preamble of the Doctoral Qualification Standard, and (c) describe and evaluate the alignment between the doctoral qualifications offered by your institution and your institution's context, mission, goals and strategic plan.**

Your institutional response may include – but need not be limited to – a discussion of matters such as the increasing demand for doctoral graduates against the background of the knowledge economy and the importance it places on a steady supply of high level new knowledge for innovation and sustained growth; increasing diversity and transformation of the doctoral student cohort; increasing pressure on supervisory capacity; innovation in pedagogic and supervisory models and approaches; rationale for and incentives to offer doctoral programmes (including funding incentives); research outputs (e.g., publications, patents) emanating from doctoral research; and the impact and benefits of doctoral training and research on the broader society.

The Purpose of the Doctoral Qualification

- 2. Describe and evaluate how your doctoral qualifications address the purpose of the Doctoral Qualification as stated in the *Qualification Standard for Doctoral Degrees*.**

Your institutional response¹ to this question should take into account the various fields of study and disciplines, and the different variants (general and professional), if applicable, of the Doctoral Degrees that you are offering.

¹ The response to this question will be mostly a narrative and qualitative in nature, reporting the institution's interpretation of the data provided in Appendix A.

NQF Level and Credits

3. If any of your existing doctoral qualifications allocate or recognise² credits other than the undifferentiated allocation for the doctoral thesis (e.g., credits for a specific aspect or section of the research process, for coursework or for work-integrated learning), indicate in the following table how the credit allocation meets the requirements relating to NQF Level and credits as stated in the *Qualification Standard for Doctoral Degrees*.

Note, list only those doctoral qualifications in this table which do not have the typical credit allocation of 360 credits for the thesis.

Give the rationale for the credits allocated to the qualification(s) listed in the Table.

Name of qualification	Credits allocated to the research for the doctorate (NQF Level 10)		NQF level	Course-work credits	NQF level		NQF level	Total credits
		Credits allocated separately to different components* of the research or sub-sections of the research				WIL credits		
Example1	216	0	10	144	10	0		360
Example 2	240	0	10	60	10	60	10	360
Example 3	300	0	9	40	0		10	360
			10	60			9	40

The Graduate Attributes

² See footnote 11 of the Doctoral Qualification Standard on the recognition of prior learning (RPL) at doctoral level. RPL procedures resulting in decisions granting *access to* enrolment for a doctoral qualification are to be distinguished from RPL procedures resulting in the granting of *advanced standing* within the study and research programme leading to a doctoral qualification. As specified in footnote 11 of the Doctoral Qualification Standard, RPL resulting in advanced standing is only permitted in the case of the coursework components of Professional Doctoral Degrees. Institutions offering Professional Doctorates are requested to report, describe and evaluate their RPL policies and procedures also here (in response to Question 3 of this Template for the Self Evaluation Report).

* For example, sub-sections such as the literature study, or the research proposal.

4. Describe and evaluate how your institution prepares candidates to attain the graduate attributes³ (knowledge and skills) set out in the *Qualification Standard for Doctoral Degrees*.

This is a high-level question requiring a high-level response supported by adequate evidence. More detail, such as on how the attributes are assessed, can be provided in response to further questions in this template.

Your institutional response may be organized according to the headings in this section of the Standard. If, however, integrating your response to more than one heading enhances the coherence and comprehensibility of the response, please indicate which of the headings have been reported on in an integrated manner to ensure that each attribute is addressed.

Contexts and Conditions for Supervision and Assessment of a Doctoral Qualification

5. Your institutional response to each of the following sub-sections (5.1 – 5.6) should address all the aspects related to that item in the *Qualification Standard for Doctoral Degrees*.

Your response should be organized according to the headings in this section of the Standard. If, however, integrating your response to more than one heading enhances the coherence and comprehensibility of the response, please indicate which of the headings have been reported on in an integrated manner to ensure that each sub-heading is addressed.

If your institution provides for different ways of qualification (for example, thesis, series of publications, a programme including coursework and/or work-integrated learning), ensure that all the ways are adequately addressed.

5.1 Institutional conditions

Describe and evaluate how your institution meets the conditions for offering Doctoral qualifications as stated in the Standard.

5.2 Progress and review

Describe and evaluate how your institution addresses the requirements related to the progress and review of the performance of Doctoral students as stated in the Standard.

5.3 Submission

³ See par 7 (p. 18-20) of the CHE's *Framework for Qualification Standards* for more information on the notions of "outcomes" and "graduate attributes".

Describe and evaluate how your institution addresses the requirements related to the submission of Doctoral work as stated in the Standard.

5.4 Final assessment

Describe and evaluate how your institution addresses the requirements related to the final assessment of Doctoral work as stated in the Standard.

5.5 Coursework

If applicable, what measures are in place to ensure that credit-bearing coursework is relevant to the field or discipline of research, and is assessed at NQF level 10?

5.6 Work-integrated learning

If applicable, what measures are in place to ensure that credit-bearing work-integrated learning is relevant to the field or discipline of research, and is assessed at NQF level 10?

Areas Identified as Above-Threshold Practice

- 6. Where there are areas or aspects of your doctoral qualifications that you identify as above-threshold practice, describe them briefly, or refer to the sections above in which they have already been identified.**

More information on the notion of “above-threshold practice”:

Note the following statement in the introduction to the Standard: “The focus of a standards statement is the relationship between the purpose of the qualification, the attributes of a graduate that manifest the purpose, and the contexts and conditions for assessment of those attributes. It is a threshold statement, establishing minimum criteria for the award of the relevant qualification. On the grounds that a standard also plays a developmental role, the statement may include, as appropriate, elaboration of terms specific to the statement, guidelines for achievement of the graduate attributes, and recommendations for above-threshold practice.”

This approach is emphasized in the CHE’s Framework for Qualification Standards in Higher Education (CHE, 2013).

“...qualification standards are not intended to be mere instruments for compliance. One of the aims of standards is to encourage and enable development where it is sought in the quality and equivalence of programmes leading to the qualification. Institutions would, as and where appropriate in terms of their own programme evaluation, have the incentive of standards to strive to move from threshold to advanced graduate output.”

Areas Identified as Being in Need of Improvement

- 7. Where there are areas or aspects of your doctoral qualifications that you identify as being in need of improvement, describe them briefly, or refer to in the sections above in which they have already been identified.**

Plans to Address Areas in Need of Improvement

- 8. Where you have identified areas or aspects of your doctoral qualifications in need of improvement, what plans does the institution have to address such areas or aspects, and within what timeframes are the plans intended to be designed and implemented, and the results evaluated?**

Appendix A: Doctoral Degrees listed⁴ in the Institution's DHET-approved⁵ Programme and Qualification Mix (PQM) for 2018

Authorised qualification name	Abbreviation	General / Professional	CESM (First order)	CESM (Second order)

Appendix B: Admission criteria and registration

1) Admission criteria

Doctoral Degree Authorised Qualification Name (as per the approved PQM for 2018)	Minimum admission criteria (e.g. a master's degree, with 65% or higher in the final result)	Recommendations (e.g. five years' industry experience, etc.)

2) Registration

Number of registrations for Doctoral degrees, per population group (African, Coloured, Indian, White, unknown/not disclosed), gender (male, female, unknown/not disclosed), nationality (South African, SADC excluding SA, other African, other foreign) and field of study (as indicated in the table below) for the years 2014-2018. The demographic data are to be provided for the total as well as per field of studies.

Field of Study	CESM Categories
Science Engineering and Technology (SET)	01, 02, 06, 08, 10, 13, 14, 15, 16
Health Sciences	09
Business and Commerce	04
Education	07

⁴ The institution's interpretation of the data provided in Appendix A is to be reported in a narrative in response to Question 2 of this Template.

⁵ Private Higher Education Institutions to provide the list of their accredited doctoral qualifications.

Doctoral Degree Authorised qualification name (as per approved PQM for 2018)	Number of applications* per annum during 2014-2018 and the total for these five years	Number of registrations per annum during 2014-2018 and the total for these five years	Total number of first-time registrations per annum during 2014-2018

Appendix C: Staff Profile

1) Supervisory Capacity in 2018: Number of Staff Members with Doctoral degrees

Number of staff members with doctoral degrees per population group (African, Coloured, Indian, White, unknown/not disclosed), gender (male, female, unknown/not disclosed), nationality (South African, SADC excluding SA, other African, other foreign) and field of study (as indicated in the table below) for the year 2018. The demographic data are to be provided for the total as well as per field of studies.

Field of Study	CESM Categories
Science Engineering and Technology (SET)	01, 02, 06, 08, 10, 13, 14, 15, 16
Health Sciences	09
Business and Commerce	04
Education	07
Humanities and Social Sciences	03, 05, 11, 12, 17, 18, 19, 20

2) Head Count of Supervisors in 2018

Number of staff members supervising doctoral candidates enrolled in 2018, per population group (African, Coloured, Indian, White, unknown/not disclosed), gender (male, female, unknown/not disclosed), nature of appointment (full-time, part-time, occasional), nationality

* "Application" is defined as a completed, formal application filed to and recorded in the institution's (central) information system. Therefore, expressions of interest or enquiries that have not resulted in the submission and recording of a formal application are not included in this table.

(South African, SADC excluding SA, other African, other foreign) and field of study (as indicated in the table below), and highest qualification (PhD/other). The demographic data are to be provided for the total as well as per field of studies.

Field of Study	CESM Categories
Science Engineering and Technology (SET)	01, 02, 06, 08, 10, 13, 14, 15, 16
Health Sciences	09
Business and Commerce	04
Education	07
Humanities and Social Sciences	03, 05, 11, 12, 17, 18, 19, 20

3) Supervisory Load

If not already discussed under Section 5.1 above, provide details of how your Doctoral supervisory workload is managed. This should include details of provision for the maintenance of appropriate Doctoral supervisor-student ratios, in relation to other academic staff commitments and responsibilities.

Appendix D: Information on Student Progress

1) Drop-out statistics

Drop-out statistics per annum for the cohorts with first time enrolment in 2013, 2014, 2015, 2016 and 2017 per population group (African, Coloured, Indian, White, unknown/not disclosed), gender (male, female, unknown/not disclosed), nationality (South African, SADC excluding SA, other African, other foreign) and fields of study (as per the table below) and for the institution as a whole,

Field of Study	CESM Categories
Science Engineering and Technology (SET)	01, 02, 06, 08, 10, 13, 14, 15, 16
Health Sciences	09
Business and Commerce	04
Education	07
Humanities and Social Sciences	03, 05, 11, 12, 17, 18, 19, 20

2) Time-to-degree statistics

Time-to-degree statistics for the cohorts with first-time registration for the Doctoral Degree in 2008, 2009, 2010, 2011 and 2012 per population group (African, Coloured, Indian, White, unknown/not disclosed), gender (male, female, unknown/not disclosed), nationality (South

African, SADC excluding SA, other African, other foreign) and field of study (as indicated in the table below), and for the institution as a whole.

Field of Study	CESM Categories
Science Engineering and Technology (SET)	01, 02, 06, 08, 10, 13, 14, 15, 16
Health Sciences	09
Business and Commerce	04
Education	07
Humanities and Social Sciences	03, 05, 11, 12, 17, 18, 19, 20

Appendix E: Graduation Rates

Graduation rates for 2013-2017 per population group (African, Coloured, Indian, White, unknown/not disclosed), gender (male, female, unknown/not disclosed), nationality (South African, SADC excluding SA, other African, other foreign) and fields of study (as per the table below), and for the institution as a whole, (Graduation rate is defined as the number of doctoral graduates of a given academic year divided by the total headcount of doctoral enrolments of that year).

Field of Study	CESM Categories
Science Engineering and Technology (SET)	01, 02, 06, 08, 10, 13, 14, 15, 16
Health Sciences	09
Business and Commerce	04
Education	07
Humanities and Social Sciences	03, 05, 11, 12, 17, 18, 19, 20