

UNIVERSITY OF LIMPOPO



RESEARCH DEVELOPMENT AND ADMINISTRATION

**CODE OF PRACTICE ON THE ADMISSION, SUPERVISION AND
ASSESSMENT OF MASTERS AND DOCTORAL STUDENTS**

(RDA-CPASA01 2013/03/20)

CODE'S PARTICULARS

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Level Applicable: Masters and Doctoral

Responsibility

- **Implementation and Monitoring:** DVC: Academic and Research, and Executive Deans.
- **Review and Revision:** Senate Research and Ethics Committee.

ACRONYMS AND GLOSSARY

ASP, Accredited Subsidised Publication.

DRDA, Division for Research Development and Administration.

FET, Faculty Executive Team.

HDC, Higher Degrees Committee.

RPL, Recognition of Prior Learning.

P-GRTSP, Post-Graduate Development Research Training and Support Programme.

SRP, Senate Research and Publication.

UL, University of Limpopo.

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INTRODUCTION

This *Code* sets out the generic requirements for supervisors, postgraduate students and the University in the supervision of postgraduate research. This *Code* should be read in conjunction with the Senate approved University of Limpopo's *Policy on the Research and Supervision of Postgraduate Students* and all other University rules, regulations and procedures applicable to postgraduate studies. The University recognises that supervision practice necessarily varies between disciplines and therefore this *Code* cannot set out prescriptive requirements for issues such as the level and nature of contact which should be maintained between student and supervisor. Faculty, subject to Senate's approval, may adopt changes to this *Code* to cater for faculty specific requirements.

Unless otherwise stated this *Code* applies to both part-time and full-time postgraduate students studying under both on and off-campus arrangements.

It is important that at the outset postgraduate students are well informed of all relevant rules, policies and procedures related to research and supervision. Students and their supervisors are aware of their respective duties, responsibilities and obligations. Procedures are available to deal speedily with any problems which may arise so that these do not hinder the progress of the student's studies.

Where students are not content with any aspect of their supervision they are encouraged to address problems/challenges as soon as these arise through discussions with their supervisors. Each faculty, guided by the complaint's and appeals procedures in this *Code*, should create appropriate channels to deal formally with students' complaints and appeals.

The *Code* encapsulates the responsibilities and obligations of the parties during the period of supervision from the time of initial registration until completion of all

stages of the examination and/or assessment process, including where necessary any reassessment.

1. A GUIDE TO ADMISSION

The University's rules, criteria and process for admission and registration are captured in the UL's calendars and must be adhered to. The procedures below are meant to further assist with the admission and research processes:

- a) It is the responsibility of the department concerned, if necessary after consultation with the Director of the School, to ensure that the qualifications of an applicant satisfies the minimum entrance requirements as specified in the University, Faculty and School rules and regulations and to make a formal offer of a place. The department may impose additional requirements as conditions for entry. The student's proposed supervisor should ensure that the candidate's qualifications are suitable for study in the chosen area of research.
- b) The title of the research topic should be agreed on between the student and the proposed supervisor at the time the application for admission is made. Any subsequent change of title should be agreed on between the supervisor and the student. If the proposal was approved by the HDC then any subsequent change in title, objectives and methodology shall be approved by Senate and if any changes impact on the ethical clearance which was granted then the ethical committees must approve of such changes.
- c) Before making a recommendation for the acceptance of a student into a research programme, a department should satisfy itself, by means of an interview and / or references and transcripts, RPL assessment (where applicable) and where appropriate, examination of previous research work, of the suitability of the applicant for the specific research.

- d) For applicants for part-time study, recommendations for acceptance should be accompanied by firm proposals concerning the time to be devoted to the research work and the supervision arrangements which will operate. The admitting department should obtain written assurances that a candidate's employer provides him/her with sufficient time for studies.
- e) The department shall ensure, as far as is practicable that the proposed programme of work is capable of being studied to the depth required to obtain the degree within the prescribed duration (G10). The period for the degree is determined from the first day on which the student is registered.
- f) Appropriate resources must be available at the University for the completion of the research project within the specified minimum time. Where a student is registered at UL but will conduct part of the research at another institution, the supervisor shall ensure that appropriate arrangements are made, for the research project to be completed within the specified time for the degree (G10).
- g) The department shall ensure that proper supervision by a suitably qualified academic staff is provided and can be maintained throughout the period of the research. No supervisor is permitted to go on long extended leave of absence unless the department is sure it can provide alternative supervision to the student during the absence of his/her main supervisor. Supervision can best be provided by an academic staff member active in research and with a research interest related to that of the student. The Faculty shall ensure that another supervisor be immediately appointed who can take-over as supervisor in the event that a supervisor leaves the employment of the University or when the supervisor is unable to perform his/her duties for some justifiable reason.
- h) Candidates should be made aware of the advantages, in certain circumstances, of participating in well-established research areas of

the department as opposed to perusing their own research interests outside these.

- i) All new Master's and Doctoral students should attend a Research Induction Programme and attend appropriate sessions of the Limpopo Post-Graduate Development Research Training and Support Programme (P-GRTSP) offered by the DRDA.
- j) All new Master's and Doctoral students shall be presented with a file **"RECORD OF UNDERSTANDING, PLANNING AND PROGRESS FOR MASTERS AND DOCTORAL STUDENTS"** containing all relevant information.
- k) All new Master's and Doctoral students shall sign a MoU (**Appendix A**).

2. EFFECTIVE SUPERVISORY ARRANGEMENTS

Supervision is a relationship requiring mutual trust and respect. Students have the right to expect regular, high quality advice, support and direction in their quest for academic excellence.

- a) Supervision shall be conducted by an appropriately qualified staff member with the necessary experience and competence.
- b) The Head of Department should ensure that no member of staff supervises more research students than his/her relevant qualifications, experience, post-graduate throughput rate, research and publication track records, academic workload and other commitments justify. The supervisor should normally have had at least three or more years' experience of teaching and research. Inexperienced staff members should preferably supervise one or two students, at or below the level of their highest qualification, at any one time. More experienced staff members fulfilling the above criteria and where adequate resources exist should be limited to five or six students at any one time. Should any supervisor wish to go beyond the prescribed post-graduate allocations, a written request shall be made to the Director of the School for tabling at the FET for discussion and approval.

- c) At the start of the student's period of study, the department, in consultation with the student, should appoint a member of staff to act as a mentor. The mentor is a person that the student can approach in confidence when s/he has problems with his/her supervisors.
- d) At the start of the research programme, a MoU (**Appendix A**) shall be signed and a detailed research plan drafted by the student and the supervisor.
- e) It is important that the supervisor, at an early stage, clarify the nature of the supervisory relationship, in order to minimize: failure risk of the student and problems of misunderstanding, personality clashes and to avoid inadequate supervision or unsatisfactory work. The nature of the relationship will naturally vary from individual to individual.
- f) It is important that the student's progress be monitored formally at least twice a year or as determined by the faculty subject to Senate's approval. The assessment should lead to a recommendation as to whether the student should be allowed to continue or whether the student's registration status should be changed. If, at any time, the supervisor is of the opinion that the student is unlikely to achieve the degree for which he or she is registered, the student, the Head of Department, the Director of the School and the Executive Dean should be informed and the appropriate steps taken.
- g) Rule G48 "Conversion of a Master's degree study into a Doctoral degree" and the process under this rule shall apply for this conversion.
- h) While a student's research is being supervised, formal registration and payment of the appropriate fee are required for each year. A student is expected to submit a dissertation or thesis for examination at the end of the prescribed registration period. A student may be registered, after the period of formal registration has ended, and provided all research work is concluded, as a 'writing up' student, on payment of a nominal fee, for up to nine months. If a student does not complete after the nine months, the faculty decide what should happen. After the period

of formal registration has ended, a supervisor should normally be prepared to continue to provide advice during the period of the preparation of the dissertation or thesis. It is expected, however, that the supervised research will be completed during the prescribed registration period. In cases where a dissertation or thesis has been referred back for revision and resubmission, supervision shall be provided.

2.1. The duties and responsibilities of the supervisor and co-supervisor

- a) A supervisor is expected to give guidance about the nature of research and the standard and quality of work, the planning of the research programme, relevant literature and sources, research methods and instrumental techniques, and to direct students to particular training programmes and modules. At the outset, as part of this responsibility, the supervisor should explore in detail the student's academic background in order to identify any areas in which further training (including English language training) is required.
 - Guidance about the nature of research will include some of the following: a clear understanding in general terms of the main aspects of postgraduate research, the concept of originality, different kinds of research, and the form and structure of the final dissertation/thesis.
 - In planning the research programme the supervisor should ensure that the project can be completed fully, including preparation of dissertation/thesis, within the prescribed time for the degree (G10) and advise the student accordingly.
- b) Assist the student to draft a proposal according to the prescribed format and standard and ensure that it is submitted to the relevant structures for approval. The supervisor shall ensure that any required corrections and recommendations from the various structures be effected by the student.

- c) Monitor the student's attendance at taught classes (where required). In conjunction with the DRDA monitor the student's attendance of the Research Induction Programme and appropriate sessions of the P-GRTSP offered by the DRDA (**Appendix B**).
- d) Ensure that new Masters and Doctoral students are presented with a file "Record of Understanding for Masters and Doctoral students" with all the relevant information.
- e) Ensure that the student is made aware of relevant regulations, rules and legal issues; including but not limited to plagiarism, copyright, data protection, health and safety, and any ethical issues which may arise in the course of research. A record of such discussions must be kept (**Appendix C**).
- f) It is very important for the supervisor to maintain contact through regular personal supervision and seminar/discussion meetings (**Appendix D1**). These shall be signed by both parties and filed in the "Record of Understanding and Progress for Masters and Doctoral Students". The Faculty has to establish formal policies to regularise practices within schools/departments about the frequency of such contacts in the light of any agreement reached with individual students. The frequency and nature of these sessions will vary depending on the type of research, the requirements of the discipline, whether the student is based on or off-campus and on the registration status of the student.
- g) Ensure sufficient checks are made to ensure compliance with occupational health and safety, ethical issues, the Code of Conduct for Research and other appropriate, relevant legislation, policies and procedures.
- h) Conduct sufficient checks to prevent and ensure no plagiarism is committed by the student.
- i) Coach and guide a student to make professional presentations of his/er work at seminars, conferences, etc.

- j) The supervisor should arrange, as appropriate, for the student to present his/her work in writing and/or at seminars/conferences within the University and elsewhere. The written work should invariably be followed by constructive feedback within a reasonable period to allow the student to incorporate such useful comments in his/her future research plans. Also, the student should be warned timeously, preferably in writing, *of inadequate progress or of any unsatisfactory standard of work*. In such instances, a copy should be lodged with the Faculty.
- k) Ensure that the student is prepared for submission of all reports (**Appendix E**) at the appropriate times. Each progress report shall be assessed by the supervisor. After this the supervisor shall write a report on the progress, concerns and recommendations (**Appendix F**). A copy of this report shall be given to the student, a copy filed by the supervisor and a copy filed in the department. Such reports (**Appendix E and F**) may be requested when a dispute arises.
- l) Keep a separate file for each student in which all relevant information w.r.t the student and his/her research work is filed. The supervisor should among others keep records of the registration status of the student, the approved proposal, progress reports, any concerns about progress, unacceptable behaviour, work ethic, violation or misconduct which were discussed with the student.
- m) Provide suitable reports on the student's progress, at periods to be agreed on, to the Director and the Dean and to the student's sponsors (where required).
- n) Establish at an early stage the supervisor's responsibility in relation to the student's written work, including the nature of the guidance and comments to be offered. It must be clear to the student that research for a higher degree is undertaken within the principle that a dissertation or thesis must be the student's own work.

- o) Ensure that all corrections and recommendations by the examiners of the dissertation or thesis are carried out under his/her supervision.
- p) Encourage and assist with publication of the student's research work and discussing with the student the publication of papers arising from the research and in particular the question of authorship of such papers and acknowledgement of the work of contributors.
- q) It is the responsibility of the supervisor to initiate procedures for the appointment of assessors well in advance of the dissertation/thesis being submitted.
- r) Finally, the supervisor has to be aware of the needs of different groups of students particularly those that are not regularly on campus ensuring, for example, that students are not disadvantaged with regard to access to information concerning the requirements of their degree programme.

2.2. The obligations and responsibilities of the student

Supervisors have the right to expect appropriate ethical and professional behaviour, good quality work, adherence to deadlines and a high level of commitment from their students who should respond positively to advice and guidance and will, with time, develop an increasing level of independence in the conduct of their research.

- a) Every postgraduate student is expected to plan and discuss thoroughly with the supervisor the research topic of his/her dissertation/thesis and the timeframes within which well identified milestones will be attained.
- b) The student and the supervisor must agree on a schedule of meetings for a specified period and the appropriate feedback mechanisms.
- c) A student must familiarise him/herself with relevant rules and regulations, legal issues pertaining to their research including but not limited to plagiarism, copyright, data protection, health and safety, and ethical considerations which might arise in the course of their research work. The student should also be acutely aware of all the regulations

and rules governing the rules of engagement for the degree for which they are registered.

- d) Draft a proposal according to the prescribed format for formal approval. Effect, guided by the supervisor(s), all recommended corrections and changes to the proposal. File a copy of the final approved proposal.
- e) Every postgraduate student is encouraged to raise problems or difficulties they encounter with their supervisors first and other structures (**Appendix G**), no matter how trivial these problems seem, and in particular inform their supervisors of any personal circumstances which might prevent them from fulfilling their roles as postgraduate research students. It should be borne in mind that prompt discussion and resolution of problems can prevent difficulties and disagreements at a later stage.
- f) Postgraduate students are expected to maintain progress according to the agreed schedules, in particular including the presentation of seminars and written progress reports in time to allow for discussions and comments meant to inform future research direction. It is imperative that all students should aim to have defined their area of research, become familiar with background knowledge required and the scholarly literature by the end of their first year of full-time study. Also, the research proposal should be concluded during this period.
- g) Provide reports detailing progress made and updating the research work plan (**Appendix D2**). A copy of these shall be kept in the "File" and a copy must also be filed with the HoD. Problems and delays to the programme must be detailed in these reports which should be examined within the department by the supervisor and the HoD and corrective steps instituted and recorded. At the end of the penultimate year the work plan should include a timetable for writing up (**Appendix H**).

- h) Safe-keep and store all raw data, results and records of the research for 5 years. The supervisor will not be held accountable for loss or damage of these.
- i) Agree with the supervisor on the amount of time which should be devoted to your research work and the timing and length of holiday periods. The supervisor must grant written permission for holidays or leave of absence.
- j) Submit a dissertation or thesis for assessment when the supervisor(s) is satisfied that the work is ready for assessment. In making this decision, the student will naturally seek the approval of the supervisor.
- k) At the start of the final semester of the Masters or Doctoral registration, prepare a brief report on progress to date which should also indicate the expected submission date for the dissertation or thesis.
- l) Present oral presentations (**Appendix I**) on the research to the department staff and other postgraduate students. The faculty to determine the nature and frequency of presentations.
- m) Discuss with the supervisor the publication of papers arising from the research, and the question of acknowledging of the work of all those involved in the research.
- n) Ensure proper registration and payment of all fees for each year until the degree is awarded.
- o) Every student is required to attend a *Research Induction Programme* as well as appropriate sessions of the *Limpopo University Postgraduate Development Research Training and Support Programme (P-GRTSP)* offered by the Division of Research Development and Administration.

3. RESPONSIBILITIES OF FACULTY

The responsibilities of the Faculty's actions lie squarely with the Executive Deans of the various faculties.

- a) Executive Deans of the various faculties must be conversant with the contents of this *Code* so as to ensure that every postgraduate student has appropriate supervision throughout their time as a student of the University of Limpopo.
- b) The faculty is responsible for ensuring the adequacy of the supervisory arrangements, availability of resources, proper keeping of records on students, nomination of assessors, checking that the research progress of a student is satisfactory and that all problems are dealt with speedily.
- c) Deans must provide information and guidance on Faculty rules and regulations including codes of good practice.
- d) Each postgraduate student must be provided with a base where they may keep their belongings; and together with the Dean of Students deans must ensure that postgraduate students under their care who need university residence accommodation are assisted accordingly.
- e) Deans must endeavour to provide postgraduate students with adequate access to computer facilities and sufficient library provision.
- f) The faculty should co-ordinate the pastoral care of postgraduate students and thereby minimize the risk of a breakdown of student/supervisor relationship.
- g) Faculties should maintain records of all registered students and monitor their progress throughout their stay at the university.
- h) Executive Deans should ensure that topics for research are timeously approved and that proper assessment arrangements are in place at the end of each study.
- i) Finally, the Faculty assumes full responsibility for liaising with relevant university structures and divisions such as the Research Development and Administration and the Registrar's Office to ensure seamless flow of administrative and research-related information to students and supervisors.

4. ASSESSMENT

All assessments of postgraduate students shall follow University rules and procedures. Below follows an elaboration on some salient procedural issues with regard to these rules and procedures:

- a) A student is expected to submit a dissertation / thesis for assessment at the end of the prescribed registration period. Faculty shall determine the nature of exceptional circumstances and process to follow for late submissions. Requests must be supported by the student's supervisor and HoD.
- b) Although assisted by the supervisor, the responsibility for the accuracy of the text and quality of presentation of the dissertation / thesis rest entirely with the student. The final text shall be checked carefully for typographical and grammatical errors. Failure to check carefully may result in long delays before the dissertation / thesis could be approved for assessment.
- c) Before a dissertation / thesis can be submitted, notice shall be given in the prescribed manner and by the prescribed date. The department will then recommend external and internal assessors as per prescribed University procedures.
- d) If a dissertation / thesis is submitted after the prescribed date, the University is under no obligation to assess it until the next prescribed date.
- e) For a mini-dissertation, only one internal (the supervisor) and a co-supervisor (where applicable) and one external assessor are required. For a full dissertation and thesis a minimum of one and two external assessors, respectively, are required.
- f) Once the assessment of the dissertation / thesis is completed, the assessors shall promptly (by the prescribed period) submit their reports to the Postgraduate Office. It is the duty of the Postgraduate Office to inform and ensure that all required information on the assessment form

is fully completed by all assessors. The internal and external assessors shall prepare independent reports on the dissertation or thesis. Once all reports are received by the main supervisor s/he shall ensure that all corrections and recommendations of the assessor(s) have been satisfactorily effected by the student. A single report must be compiled and submitted via the approved procedures of the University.

- g) It is unethical for the supervisor(s), co-supervisor(s) or the internal assessor(s) and external assessor(s) to discuss and agree on marks, and for assessors' reports and marks to be made known to the candidate during the assessment process. A full assessor's report can only be made available to the candidate, if such approval is granted by an assessor. The final mark will be made known to the candidate following University procedures. Infringements in any of these shall result in disciplinary action being taken.

5. COMPLAINTS AND APPEALS PROCEDURES

Open, fair and formal procedures are in place for hearing and adjudicating students complaints and appeals.

- a) A candidate for a master's or doctoral degree may appeal against a decision if they are not awarded the degree for which they have submitted a dissertation / thesis or if not allowed to resubmit the dissertation / thesis following prescribed University procedures.
- b) No appeal will be entertained under (a) on the grounds of inadequate supervisory or other arrangements for which appropriate procedures are provided (**Appendix G**) for during the study period.
- c) An appeal may be made on grounds alleging:
- that there exists or existed exceptional circumstances affecting the candidate's performance of which the assessors were aware off when their decision was taken;
 - that there were procedural irregularities in the conduct of the assessor(s); and

- that there is evidence of prejudice, bias or of inadequate assessment on the part of one or more of the assessors.
- d) An appeal must be submitted by the candidate to the Registrar in writing with supporting evidence within one month of the date on which the result was formally notified to the candidate.
- e) The Registrar, having undertaken such enquiries as may seem appropriate, shall inform the candidate within two months of receipt of the written appeal whether the appeal is to be submitted to an Appeals Committee for determination (with the understanding that **Senate has the ultimate decision**) or the appeal is considered to be frivolous, in which case the appeal shall be dismissed and the candidate shall be so informed and shall normally be given the reasons for the decision.
- f) The membership of the Appeals Committee shall not include members from a department in which the candidate is or has been registered for the degree.
- g) The candidate shall be sent a letter giving not less than four weeks' notice to the date of consideration of the appeal and shall be informed that he or she shall have the right to present his or her case in person and to be accompanied or represented by another person.
- h) The Appeals Committee shall consider the appeal to decide whether the case presented constitutes grounds for reconsideration.
- i) Assessors' reports are confidential but should be made available to the Appeals Committee. The department is obliged to present all records of the student where this is necessary for proper consideration of the appeal. The assessors should be informed that an appeal has been submitted and be invited to submit comments to the Appeals Committee in a form that could be made available to the appellant. They should be informed that where such comments are not submitted, the appellant may be given an unattributed summary of the main points of the assessors' reports.

- j) Having considered the evidence and taken such advice as may be appropriate the Appeals Committee shall determine the proper action to be taken which may include:
- rejecting the appeal (in which case the decision is final), the reasons being made known to the candidate in general terms;
 - requiring that the examiners be requested to reconsider their decision for the reasons stated;
 - requiring the Post-graduate Office to grant the candidate permission to resubmit the dissertation or thesis for examination following revision;
 - requiring the Post-graduate Office to grant the candidate permission to resubmit the dissertation / thesis, following revision, to an external Arbitrator; or
 - declaring that the examination shall be null and void and requiring that the dissertation / thesis be re-examined;
- k) Cases in which the decision of the Panel is that the dissertation / thesis should be re-examined the following procedures shall be followed:
- new assessors shall be appointed, not fewer in number than those appointed for the original examination and normally including not fewer than two external assessors; following the normal prescribed procedure for the appointment of assessors;
 - the assessors (also in the case of the Arbitrator) shall be informed that they have been appointed to conduct re-assessment on appeal but shall not be given any information about the previous assessment;
 - the assessors shall prepare independent reports on the dissertation / thesis as the previous assessment.
 - on completion of the re-assessment, the reports of the assessors appointed for the original assessment and for the re-assessment shall be submitted via the Post-graduate Office to the Appeals Committee.

- where the recommendations of the assessors appointed for the re-assessment differ from those of the assessors who conducted the original assessment, any agreed recommendation of the assessors who conducted the re-assessment would be expected to prevail.

6. ACKNOWLEDGEMENTS

The 'Code of Practice on the Admission, Supervision and Examination of Research Students, Appeals Procedures for Research Degrees' of UMIST, UK.

Policy and Procedures on Postgraduate Research and Supervision (S2007/16-24).

7. APPENDICES

MEMORANDUM OF UNDERSTANDING

Between

The Lecturer / Senior lecturer / Ass.Professor / Professor in the Faculty under the School in the Department/Discipline..... who holds the following academic qualification (highest).....

And

Candidate.....(full name).....(student no.)

DECLARATION BY CANDIDATE

I have been presented with the following:

- Record of your research and research Progress with all relevant documents.
Code of practice on the admission, supervision and examination of research students
Policy and Procedures on Postgraduate Research and Supervision.
Code of Conduct for Research.
Promoting Research Integrity and the Responsible Conduct of Research - A checklist
The University Calendar, the School Calendar, and the following other policies and procedures documents (list these):

I have read and understood the rules, regulations, codes and policies of the University and have discussed the general requirements of my research work, the work plan and the recommended courses and induction programmes with my supervisor. I understood and agreed to my obligations and responsibilities. I have read and understood the health and safety procedures of the University and have been advised of any particular hazards and precautions associated with my research work. I indemnify the University of all responsibility should anything happen to me, due to my own negligence, in the course of my research work. I agree that the University reserves the right to terminate my registration at any time should my conduct and progress not be satisfactory.

DECLARATION BY SUPERVISOR

I/We have met with the above named candidate, discussed with him/her the requirements and all relevant rules, regulations, procedures, codes and policies of the University and the roles and responsibilities of the supervisor. I agree to carry-out my supervisory duties and responsibilities and will endeavour to keep a healthy, cordial and academic relationship with the student to ensure that s/he completes in the prescribed minimum time for the degree without compromising academic standards.

Duly signed

.....(supervisor).....(place).....(date)

.....(candidate).....(place).....(date)

Counter signed (HoD).....

(Director of the School).....

(Dean).....

APPENDIX C

RECORD OF REGULAR MEETINGS WITH SUPERVISOR

(this page must be copied as required)

Date/time:.....

Duration (hours):.....

Discussion Summary

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Date/time:.....

Duration (hours):.....

Discussion Summary

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CPASA FOR MASTERS AND DOCTORAL STUDENTS

APPENDIX D2

WORK PLAN

(this page must be copied as required)

Date/time discussed:.....

Planned activities	Duration	Report back date

**APPENDIX E
PROGRESS REPORT**

Report by student

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Signature of Student Date

Comments by the Supervisor

(on satisfaction with progress of student, remedial intervention and recommendation for continuation or discontinuation)

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Signature of Supervisor Date

Comments by the HoD

(on the satisfaction of supervision)

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Signature of HoD Date.....

Comments by the Director of the School

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Signature of HoD Date.....

Comments by the Dean

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Signature of Dean Date.....

(all parties may continue the report on an additional page that must be attached, copies of the report must be filed by the various parties)

APPENDIX F
REPORT BY SUPERVISOR AND CO-SUPERVISOR ON STUDENT PROGRESS

Report by Supervisor

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Signature of Supervisor Date

Co-Supervisor

(on satisfaction with progress of student, remedial intervention and recommendation
for continuation or discontinuation)

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Signature of Co-Supervisor Date

Declaration by the Student

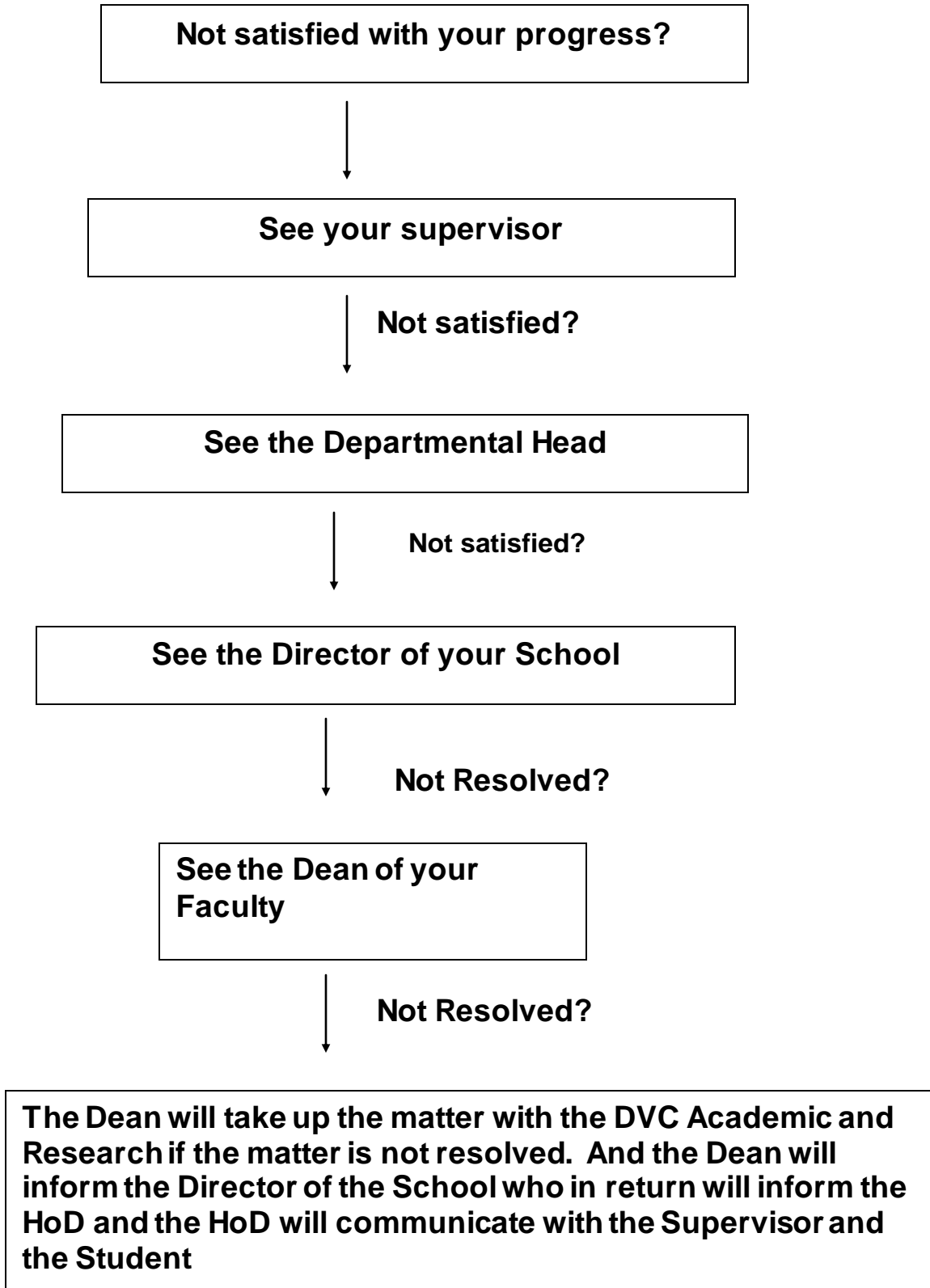
**I have discussed my progress with my supervisor. I have read and agree with the
reports made above**

Signature of Student..... Date.....

(all parties may continue the report on an additional page that must be attached, copies of the report
must be filed by the various parties)

APPENDIX G

Complaints Procedures in Brief



APPENDIX H

WORK PLAN FOR FINAL YEAR

	Planned Date	Actual Date	Date marked drafts returned to the student
Completion of actual research work			
Submission of dissertation / thesis outline			
First Draft			
Chapter.....			
Chapter.....			
Chapter.....			
Chapter.....			
Chapter.....			
Chapter.....			
Chapter.....			
Chapter.....			
Chapter.....			
Final Draft to the Supervisor			
Submission for Examination			
Oral Examination (where applicable)			

APPENDIX I

DEPARTMENTAL SEMINARS ATTENDED OR PRESENTED AT

(this page must be copied as required)

Type of Seminar (oral paper, progress report, proposal presentation)	Date	Signature of Supervisor	Signature of the HoD

APPENDIX J

Checklist for Research Students and their Supervisors

Topic	Recommended Action for the supervisor	Resources	Date discussed (or NA)	Comments (incl. actions arising from meeting and completion dates)
Code of Conduct	<p>Provide your student with a copy of the University's Code of Conduct for Research.</p> <p>Discuss the Code; its purpose and main elements. Invite discussion or clarification of any of its provisions.</p> <p>Draw attention to any relevant discipline-specific or professional codes of conduct. Discuss why these were developed and their major provisions.</p> <p>Discuss/debate what some of the consequences might be if the requirements of such codes are not followed.</p>	Code of Conduct for Research		
Local policies and guidelines	Provide your student with any faculty or departmental policy documents or guidelines pertaining to the conduct of research in their department.			
Conflict of Interest	<p>Discuss the concept of 'conflict of interest' in research with the student and direct them to the University's policy.</p> <p>Discuss any potential conflicts of interest that may be associated with their project and agree on how they will be managed in accordance with the University's Code and other policies.</p>	Code of Conduct for Research and other University policy documents.		
Ethics committee approvals and regulatory requirements	<p>Discuss with your student whether their research will require approval from the:</p> <ul style="list-style-type: none"> ▪ Human and Animal Experimentation Ethics Committees approval ▪ Gene Technology and Biosafety Committee ▪ Environmental hazards approval <p>Ensure all ethical and related approvals are in place.</p> <p>Discuss and ensure the student fully understands the meaning and legal consequences of plagiarism. Illustrate by using specific examples.</p>	TREC, MREC, AEC and SREC Policies		
Plagiarism		www.plagiarism.com		
Licenses, permits and permissions	<p>Discuss with your student whether there are any licences, permits or permission necessary to their research that must be obtained prior to research commencing, eg</p> <ul style="list-style-type: none"> ▪ import approvals for materials, ▪ licences to access certain areas, ▪ licences to use certain materials, ▪ permission from government agencies or communities. <p>including where projects may involve:</p> <ul style="list-style-type: none"> ▪ Native fauna or flora ▪ Historical or cultural artefacts ▪ Travel permits ▪ Access to premises or regions ▪ Scheduled poisons ▪ Scheduled carcinogens ▪ Closed radiation sources 			

CPASA FOR MASTERS AND DOCTORAL STUDENTS

Topic	Recommended Action for the supervisor	Resources	Date discussed (or NA)	Comments (incl. actions arising from meeting and completion dates)
Licenses, permits, permissions and prohibitions specific for health sciences	<p>Discuss with you student relevant aspects from the National Health Act:</p> <ul style="list-style-type: none"> ▪ Removal of tissue, blood, blood products or gametes from living persons ▪ Use of tissue, blood, blood products or gametes removed or withdrawn from living persons ▪ Reproductive cloning of human beings ▪ Removal and transplantation of human tissue in hospital or authorised institution ▪ Removal, use or transplantation of tissue, and administering of blood and blood products by medical practitioner or dentist ▪ Payment in connection with the importation, acquisition or supply of tissue, blood, blood products or gametes ▪ Allocation and use of human organs ▪ Donation of human bodies and tissue of deceased persons ▪ Purposes of donation of body, tissue, blood or blood products of deceased persons ▪ Revocation of donation ▪ Post mortem examination of bodies ▪ Removal of tissue at post-mortem examinations and obtaining of tissue by institutions and persons ▪ Research on or experimentation with human subjects 	National Health Act, 2004, No 61 of 2003		
Authorship	<p>Discuss the University's requirements for a person to be attributed as an author of a publication.</p> <p>Discuss "up front" the publication strategies and recognition of contributions which should apply to the student's project.</p> <p>Revisit these prior to work being prepared or submitted for publications; always agree on authorship and attribution in each specific instance.</p>	Code of Conduct for Research		
Management of Research Data and Records	<p>Discuss with the student how they should plan to collect, store and use the research data and records generated by their research.</p> <p>Consider the following issues –</p> <ul style="list-style-type: none"> ▪ Storage – location and identification ▪ Security and protection from damage/destruction ▪ Accessibility ▪ Removal or destruction ▪ Duration of storage ▪ Privacy, confidentiality, restrictions ▪ Discipline-specific practices and codes <p>And where applicable:</p> <ul style="list-style-type: none"> ▪ Sponsored research – if the research is externally funded, are there any conditions of the grant or contract that affect what data is collected or stored? ▪ Laboratory notebooks ▪ Records required for patenting ▪ Human participants (incl. consent forms and clinical trials) ▪ Indigenous communities and ethnographic data ▪ Potential archival and long-term value 	<p>Management of Research Data and Records</p> <p>Code of Practice on the Admission, Supervisor and Examination of Research Students</p>		

CPASA FOR MASTERS AND DOCTORAL STUDENTS

Topic	Recommended Action for the supervisor	Resources	Date discussed (or NA)	Comments (incl. actions arising from meeting and completion dates)
Occupational , Health and Safety (OHS)	<p>Ensure that the student has completed local Occupational Health and Safety induction and know s their local OHS representatives and have the necessary contact numbers in case of emergencies. Make arrangements for this if necessary.</p> <p>Discuss w ith the student any specific OHS issues related to their research work – eg. laboratory safety, hazards, fieldwork, indemnity, travel overseas.</p> <p>Discuss w ith the student the need to complete OHS risk assessments for the activities to be undertaken throughout the research project.</p> <p>Discuss the OHS supervisory arrangements with the student.</p>	OHS Policy and Procedures?		
Advice and complaints about research conduct	Explain w here advice and assistance can be sought, and w hat the procedures and structures are for dealing w ith questions, concerns or complaints about the conduct of research	<p>Code of Practice on the Admission, Supervisor and Examination of Research Students – Appeals Procedures for Research Students</p> <p>Record of Understanding and Progress File</p> <p>MoU</p>		
Any other relevant Topics				

A. Initial discussions at the start of candidature

The initial discussion of these issues should be signed-off as completed within three (3) months of the commencement of candidature:

Supervisor Name: Signature: Date:

Student Name: Signature: Date:

B. Review at least annually. Update the sign-off.

Acknowledgement

This document is adapted from The University of Melbourne Research Office document – “Research Integrity and the Responsible Conduct of Research – Checklist for Research Students and their Supervisors.