

# UNIVERSITY OF KWAZULU-NATAL

## GUIDELINES ON THE SUPERVISION OF POST-GRADUATE DEGREES

### 1. OBJECTIVES, BACKGROUND AND APPROACH

Within the vision of the University of KwaZulu-Natal to be the premier university of African scholarship, UKZN is considered to be a research-led university. Research is thus reflected as a key component of the University's mission, goals and strategies; and, to give effect to this, it follows that UKZN must ensure that research continues to be of the highest quality, that research flourishes and grows, that encouragement is provided for research training and the development of postgraduate students, and that candidates for higher degrees work in a clear, supportive and committed environment.

These Guidelines on the Supervision of Post-Graduate Degrees are directed at providing a framework for the supervision of post-graduate degrees in UKZN. The guidelines identify the suggested roles and responsibilities of the various contributors to the successful training of a research student: the university and college, the faculty, the school, the supervisor(s) and, of course, the student. The guidelines should thus clarify the process, increase the likelihood that research training is regarded as a positive experience, enhance the quality of the research carried out, and improve the chances of the successful awarding of a research degree.

The guidelines are being advanced via a sub-committee of Senate (committee members are listed in Annexure 1). The guidelines draw on and benefit from an analysis of a number of documents from UKZN and other universities (Annexure 2) and these sources are gratefully acknowledged. Yet, for UKZN, these guidelines are new and are believed to be in keeping with the needs and culture of UKZN.

It is considered useful to summarise the process by which these guidelines have been developed:

- a first draft of what was previously to be a "policy" on research supervision was developed and then discussed at a meeting of the sub-committee on 20 April 2010
- a second draft was prepared taking into consideration comments received on the first draft. This was sent to each of the faculties for consideration by their respective postgraduate committees and faculty boards during August 2010.
- a third draft was prepared taking into consideration comments received from the various faculties and discussions at a meeting of the sub-committee held on 6 September 2010. In particular, the sub-committee agreed with a comment from a number of faculties that the proposed "policy" become "guidelines".
- this fourth draft is prepared for senate taking into consideration comments received from the committee on the third draft.

These guidelines should be read in conjunction with various other policies and documents available on the UKZN Research Web Site including:

- Research Policy 1: Framework
- Recommended examination policies and procedures for Masters degrees
- Recommended examination policies and procedures for Doctoral degrees
- Research Policy V: Research Ethics
- Intellectual Property and Technology Transfer Policy
- Plagiarism Policy.

These guidelines should also be read in the context of the needs, structures and practices of individual faculties, which may develop their own implementation procedures.

## **2. PREAMBLE**

A dissertation or thesis is typically the key, culminating element of post-graduate research, though it should not be ignored that other products are establishing themselves as alternatives to the written work.

Supervision of post-graduate research is a specialised form of teaching that, as a research oriented university, UKZN recognises as being of vital importance not only to the development of new researchers, but also to the development of the supervisor through his/her personal growth through having to face new challenges and constantly re-evaluate his/her attitude and outlook.

Post graduate supervision is a complex and individualised form of teaching, where a diversity of factors come into play, including those inherent in the disciplinary focus of the research but also the preferences, expectations, approaches and backgrounds of both the research student and the research supervisor. It is difficult, if not impossible, to arrive a comprehensive check list of do's and don'ts. However, it is possible to avoid some of the uncertainties and potential conflicts through guidelines that provide clear and justifiable expectations of what each of the parties should expect of themselves and each other.

All Deans, Heads of Schools, Supervisors and Research Students are expected to make themselves familiar with these guidelines and other UKZN regulations and procedures that impact on research supervision.

### 3. UNIVERSITY ROLES AND RESPONSIBILITIES

The University should:

- 3.1 take **overall responsibility for the integrity of the process** for awarding higher degrees, which shall include the development, oversight, review and adaptation of policies and guidelines, and the establishment of a management system for post-graduate research, including examination processes and standards.
- 3.2 encourage the **growth of a culture of both research and research supervision**, as being complementary to teaching, coursework and learning.
- 3.3 provide or otherwise **make resources known and available** for formal professional development in research supervision; such resources may include internet resources, on-line programmes, short courses, seminars and workshops for research supervisors; such responsibilities may be delegated to the college or faculty should it be felt desirable to give a disciplinary focus to such training and professional upliftment opportunities.
- 3.4 ensure that there are **adequate resources and support** for research candidates and research supervisors as may be within the ambit of the University to provide.
- 3.5 develop the format for a **Postgraduate Student Completion Survey**, which should seek to identify and recommend actions to optimise and improve the process of research supervision; and seek to ensure that such surveys are systematically completed, reviewed and adapted as may be desirable.

### 4. COLLEGE ROLES AND RESPONSIBILITIES

- 4.1 **become familiar with and seek to comply** with these guidelines and other policies, procedures and regulations as may apply to research supervision.
- 4.2 accept a **formal professional development role** in research supervision as may be useful to its faculties, and/or should this responsibility be delegated by the university from 3.3 above.
- 4.3 on behalf of Senate, approve the **appointment of examiners** and the examination outcome for doctoral degrees.
- 4.4 take **overall responsibility for the academic quality** of postgraduate offerings in the college.
- 4.5 ensure that there are **adequate resources and support** for research candidates and research supervisors as may be within the ambit of the College to provide.

## 5. FACULTY ROLES AND RESPONSIBILITIES

Faculties should support and ensure adequate supervision and they should:

### 5.1 At the outset:

- 5.1.1 become **familiar with and seek to comply** with these guidelines and other policies, procedures and regulations as may apply to post-graduate supervision.
- 5.1.2 develop **implementation guidelines and practices** particular to their own faculty's needs.
- 5.1.3 develop **eligibility criteria for supervision** at each degree level, which may include qualification held, research profile, academic experience in the field or in relevant fields of research, professional development in research supervision and experience in research supervision. A main supervisor is normally expected to have a PhD; however, provision can be made for this and the other criteria for the acceptance of a supervisor to be varied under exceptional circumstances, as may be appropriate to a particular faculty.
- 5.1.4 develop and maintain a **data base of supervisors**, including staff of UKZN and staff of other collaborating institutions who may become involved in supervising post-graduate degrees
- 5.1.5 develop a **pro-forma letter of appointment for external supervisors**, including student details, the proposed title, the expected duration of the study, and UKZN's expectations of the supervisor; and which, on transmittal, should specify the fees and the expenses the external supervisor may expect to receive.
- 5.1.6 develop and maintain a **data base of supervision**.
- 5.1.7 approve the **appointment of supervisors and co-supervisors**; and **recommend examiners for PhD students** to the College .
- 5.1.8 admit **candidates for research**, ensuring prospective students are properly qualified and have been advised of their rights and obligations, giving particular regard to ethics and plagiarism.
- 5.1.9 develop the format for a standard **Research Agreement** appropriate to the Faculty, to be completed and signed by the supervisor, any co-supervisor and the student. The Agreement is considered to be indication of the importance of research training to, and a commitment by, all parties. It should thus include the level of expectations of the supervisor, co supervisor and the student, e.g. from the supervisor and co-supervisors with regard to providing support, contact time/accessibility, guidance, information sources, resources, access to samples and field areas, access to equipment, coverage of any running and travelling expenses, reporting, and introductions to the research community; and from the student with regard to the need for a study plan, reading plan, attendance at lectures and conferences, acting as a student demonstrator, and goals with respect to independent searching, learning and thinking.

- 5.1.10 develop the format for a **Research Proposal** appropriate to the Faculty, which would typically be structured to include a title; background and context; the research problem or question or hypothesis; the research objectives; an analysis of previous work including relevant theories, previous studies and literature review; the research protocol, approach, sampling, methodologies, techniques and data analysis; and may include the proposed structure of the dissertation or thesis, including chapter headings.
- 5.1.11 develop the format for a **Research Plan** appropriate to the Faculty, which would typically be structured to include meeting schedules, targeted outcomes, milestones/stages and time-lines. For non-resident students, the plan should outline any expectations with regard to the student spending time on campus.
- 5.1.12 ensure that there are **adequate resources** for research candidates such may be within the ambit of the Faculty, and any of its other schools, to provide.

## **5.2 During the course of the research:**

- 5.2.1 maintain a **record of the student's** relevant details.
- 5.2.2 develop the format for an annual **Progress Report** appropriate to the Faculty, which should include progress during the previous period, challenges faced, comments by the student and supervisor, responses to challenges, planned activities, funding arrangements for the next period (where appropriate) and other information as may be required by a Faculty.
- 5.2.3 review and approve **Progress Reports and any other reports** as may be forwarded by a School, and monitor and respond to any matter that may be impacting on progress with the research project that it has not been possible to resolve at the level of the School by means of consultation and mediation (e.g. student progress, supervisor-student relationships, supervisory issues).
- 5.2.4 adopt a **mediatory approach to supervisor/student problems**.
- 5.2.5 undertake to secure a **replacement supervisor** should circumstances warrant; for example, if there are irreconcilable differences between supervisor and student, if a supervisor becomes indisposed, if a supervisor leaves UKZN or if a supervisor is otherwise unable to continue to supervise.
- 5.2.6 maintain a **process to exclude students** who are unable or unwilling to maintain progress and/or performance, including providing an avenue for appeal for any student who wishes to contest his/her exclusion.

## **5.3 As may be required:**

- 5.3.1 monitor and make adjustments to implementation guidelines and practices as may make research supervision in the faculty more effective.
- 5.3.2 consider and motivate to the College an **honorary position** for such external supervisors as may form a significant or long-lasting research supervisory relationship with UKZN.
- 5.3.3 track the progress of any pending **publication**, confirming an actual publication.

#### **5.4 Toward the close of the research**

- 5.4.1 develop guidelines for writing a **Supervisor's Report**, and any other reports and/or forms as may be appropriate to the Faculty to submit work for examination.
- 5.4.2 receive the candidate's **notice to submit**, ensuring the student is properly registered.
- 5.4.3 appoint or recommend **examiners**, in line with the relevant UKZN examination's policy.
- 5.4.4 appoint an **examination's panel**, in case of major discrepancies between examiners' reports, which may also be a task of the Higher Degrees Committee,
- 5.4.5 manage the **examination's process** in line with the appropriate examination's policy.
- 5.4.6 notify the candidate of any requirements for supplementary examinations, corrections, revisions and extensions recommended by the examiners.
- 5.4.7 inform the candidate of the award of the degree.

## 6. SCHOOL ROLES AND RESPONSIBILITIES

The School should:

### 6.1 At the outset:

- 6.1.1 become **familiar with and seek to comply** with these guidelines and other policies, procedures and regulations as may apply to post-graduate supervision.
- 6.1.2 seek a **reasonable division of supervisory tasks among staff** of the School: e.g. as to prime and co-supervisory roles, encouraging senior/experienced supervisors to share their knowledge with junior/new staff to engender excellence and professional development..
- 6.1.3 nominate to the Faculty the name of a **supervisor** for a particular research student/project, taking into consideration that the supervisor has knowledge of policies and guidelines with regard to research supervision, is registered with the faculty, is an active researcher in the field or in a relevant field of enquiry, has adequate time to provide supervision, has no potential conflict of interest with the student and that there are adequate materials, records and equipment to undertake the research.
- 6.1.4 nominate to the Faculty the name of any **co-supervisor**, taking into consideration his/her ability to provide additional support the student; and ensuring that both supervisor and co supervisor understand their respective roles and responsibilities.
- 6.1.5 recommend to the Faculty the **admission of a research candidate**, taking into consideration his/her qualifications, abilities and personal circumstances.
- 6.1.6 review and approve specific **Research Agreements, Research Proposals, and Research Plans**, as may be advanced by a supervisor and/or the research student, assessing and confirming the research as being practical, realistic, feasible and appropriate to the level of the degree, following up as may be required to ensure that the ethical clearance of the proposal is expeditiously obtained from the appropriate committee.
- 6.1.7 make known to the student that the school and/or faculty can provide an **independent mediator** to the candidate if he/she has problems that cannot be discussed or resolved with the supervisor; such mediation role should ideally be carried out internally and may be carried out by the Head of School or the Chair of the Committee on Higher Degrees or any other suitable person who may be mutually agreed.
- 6.1.8 provide an opportunity for the **structured induction of research students** into the School, which may include formal awareness and training with regard to policies, issues, requirement and obligations related *inter alia* to health, safety, environment, ethics, research conduct, confidentiality, plagiarism, publications and intellectual property in connection with the research.
- 6.1.9 arrange for the student to become familiar with the **facilities, activities and services** of UKZN, its student bodies, the Faculty and the School; encourage the student to play an active part in the social and intellectual life of such bodies.
- 6.1.10 ensure that there are **adequate resources** for research candidates such may be within the ambit of the School to provide.



## 6.2 During the course of the research:

- 6.2.1 provide opportunities for **structured events** (e.g. tutorials, workshops, and research report-back sessions) for groups of research students, enabling the collective mentoring of students and a strengthening of the research culture of the School.
- 6.2.2 request and evaluate **Progress Reports** on the research, focussing on any issues that may have arisen; report annually to the Faculty on research progress.
- 6.2.3 convene a **purposeful meeting with the supervisor and student** where a research project is deemed to be inactive, where progress is poor, where an issue has arisen that cannot be resolved between the student and the supervisor and/or where there may be any other significant impact on the student's ability to complete the degree. Document issues and, as may be possible, consultatively formulate support mechanisms and remedial actions to address the issue(s).
- 6.2.4 ensure appropriate recourse to a student should he/she indicate the need to **discuss problems with an independent person**.
- 6.2.5 **where a student is deemed to continue to be at fault and as may be possible under faculty rules**, issue a formal warning letter, indicating that the student is on probation and containing instructions on conditions that must be met within a prescribed period of three months to re-establish satisfactory progress and performance; report to the Faculty on such probationary terms and should these not be met, recommend to the Faculty that it take steps to exclude the student.
- 6.2.6 **where a supervisor is deemed to continue to be at fault**, report to the Faculty with a view to taking action through normal disciplinary and/or performance management processes.
- 6.2.7 provide opportunities for students to offer **confidential comments** on the quality of supervision.
- 6.2.8 report to the Faculty on **any matter** where it has not been possible to resolve an issue by way of consultation and mediation.

## 6.3 At the close of the research:

- 6.3.1 nominate **examiners**, in line with UKZN's relevant examinations policy.
- 6.3.2 write a **coordinating examiners' report**, in line with the appropriate examinations policy.
- 6.3.3 request students to complete a **Postgraduate Student Completion Survey**, which should be onward forwarded to the College Academic Affairs and Quality Board.

## 7. SUPERVISOR ROLES AND RESPONSIBILITIES

This section is divided into policies generally applicable to the main supervisor and those generally applicable to any co-supervisor, the respective roles of who should be clearly demarcated at the outset of the research programme.

### Main Supervisor

The main supervisor is the key point of contact with the student and, in general, between the student and UKZN. The main supervisor will generally come from within UKZN and will normally be a member of staff of the School within which the student resides. But, as may be permitted by a Faculty, the main supervisor may also come from another school or another institution; in case of the latter, it is generally expected that a co-supervisor from within UKZN is appointed to facilitate the student's activities and administrative processes within the university.

#### 7.1. At the outset, the Main Supervisor:

- 7.1.1 should become **familiar with and seek to comply with these guidelines** and other policies, procedures and regulations as may apply to research supervision.
- 7.2.2 will generally have a **PhD**, except and as may be permitted by a Faculty, a potential supervisor without a PhD but with appropriate research and research supervisory experience may motivate his/her inclusion on the register of supervisors.
- 7.1.3 have **undertaken extensive research supervision** or commit to undertake **formal professional development** in research supervision. All supervisors should agree to participate in seminars or other opportunities to improve their own and their colleague's practice of research supervision.
- 7.1.4 declare any **personal interest** with the student (e.g. family connection, personal relationship, business relationship) which may influence the impartiality and professionalism of his/her role; and, should such an interest arise during the course of the research, to immediately declare such interest to the School.
- 7.1.5 assess the **candidate as to his/her ability** to undertake the proposed project.
- 7.1.6 become familiar with the **individual background**, needs, expectations and constraints of a research student, so as to be in the best position to support him/her.
- 7.1.7 advise a student on a **Personal/Professional Development Plan**, including as may be necessary training in academic writing, computer skills or research methods.
- 7.1.8 assist the student to arrive at a **research topic** which may be identified by either or both of the prospective student and the supervisor.
- 7.1.9 assist the student to prepare a **Research Proposal**, following the format recommended by the Faculty, which should be signed by both supervisor and the student and advance to the School for approval and, as may be appropriate, to the relevant committee for ethical clearance..
- 7.1.10 ensure that there is an expectation of **sufficient funds to complete the research**; advising the student to seek **financial support** for the study (scholarships, awards, grants, contracts, etc); but noting that it is not the supervisor's responsibility to secure such funding.

- 7.1.11 develop a **Research Agreement** with the student, following the format and guidelines recommended by the Faculty, which should be signed by both supervisor and student and advanced to the School for approval.
- 7.1.12 assist the student develop a **Research Plan**, following the format and guidelines recommended by the Faculty, which should be signed by both supervisor and student and advanced to the School for approval.
- 7.1.13 set up a regular **schedule of meetings** with the student, including provisions for dealing with any planned absences, as well as unplanned absences that may materialise.

## **7.2 During the course of the research, the Main Supervisor should:**

- 7.2.1 generally **mentor and train** the candidate in the conventions of scholarly research and the presentation of research findings, including cultivating the student's abilities to be an innovative, comprehensive, analytical and critically thinker; generally adopt a genuine, interested, committed, motivational, professional and **supportive role** toward the student; avoiding any acts or omissions which may delay or hinder the student's progress and avoiding an imposition of his/her own stamp or style on the candidate's work.
- 7.2.2 **be accessible** to the student, arranging to meet formally as indicated in the Research Plan to review progress and provide constructive feedback. At such sessions, the supervisor is not expected to make decisions for the student but to check as may be necessary any records of data, observations and analyses and make suggestions on improvements. As a precautionary measure, it is advisable that a record should be made of any conclusions arrived at and of any plans/actions flowing from the meeting. The supervisor should respond within a reasonable time and before the next scheduled meeting on any written submission (draft chapters, progress reports) from the student. The supervisor and student may also agree on additional informal meetings and to maintaining contact by email. Where an external supervisor and/or non-resident and part-time students are involved, accessibility should be given particular attention to ensure that adequate contact is maintained.
- 7.2.3 encourage the student to engage in **complementary activities** that may be supportive of his/her professional growth and development and of the research study, e.g. conferences, contact development and networking opportunities, teaching and laboratory supervision possibilities, contacts with other specialists who may bring a different perspective to the study; noting that it is not the supervisor's responsibility to secure such activities.
- 7.2.4 set aside longer and more **formal reviews** with the student, which should occur at least annually but may also be guided by both external circumstances (such as new research findings), and internal circumstances such as progress with the work plan, which review may lead to a revision in objectives and timelines. Maintain a record of such meetings as a **Progress Report**, which should be signed by the supervisor and the student, a copy of which should be forwarded to the School. Comments provided should be fair and honest. Where progress is less than expected, a level of flexibility may initially be necessary depending on the circumstances. Any significant issue and remedial action should be documented.

- 7.2.5 undertake to provide, or work with the School and Faculty to provide, a **replacement supervisor** if absent for more than one month.
- 7.2.6 facilitate the student completing the dissertation or thesis in a **timely manner**; adjusting the scope of the project should this be necessary but not so as to compromise the quality of the dissertation or thesis.
- 7.3 Toward the close of the research, or as may arise sooner, the Main Supervisor should:**
- 7.3.1 consider with the student and arrive at a conclusion that the research is in a form **acceptable for submission**; but exercise as may be necessary his/her duty to refuse to sign or otherwise endorse the submission of what the supervisor believes is sub-standard work for examination, noting that the supervisor is **not** in a position to prevent the student submitting such work.
- 7.3.2 ensure that the student is familiar with the **processes and timelines** for submission, examination, extensions, etc.
- 7.3.3 consider and, in conjunction with any co-supervisor, recommend **external examiners** timeously to the School.
- 7.3.4 provide constructive criticism on any **written drafts** within a reasonable and agreed timeframe; noting that the supervisor's role may be to assist with style, content, form, structure and the development of a research argument; but that the supervisor is not expected to correct grammar, spelling mistakes, language, tense or referencing, nor to rewrite any parts of the dissertation or thesis.
- 7.3.5 submit to the Faculty a non-evaluative **Supervisor's Report**, in line with the appropriate examination's policy and any guidelines provided by Faculty.
- 7.3.6 support the candidate in preparing for any **oral examination**.
- 7.3.7 **oversee any corrections**, revisions and extensions recommended by the examiners.
- 7.3.8 discuss with the student and any co-supervisor the generation of **publication(s)** from PhD research and to assess, if any, research at a Master's level may be worthy of publication; agreeing on how such a publication(s) will be developed and authored based on the various contributions to the research work; assisting the student with advancing such a publication through the relevant steps, informing the Faculty of any pending publication.
- 7.3.9 discuss with the student, co-supervisors, any co-workers and the UKZN Research Office any aim to secure **intellectual property** rights for the work emanating from the study or technology transfer of such property that may have commercial potential; developing an Agreement covering how this is to be structured taking into consideration the contributions of the various role-players.
- 7.3.10 discuss further **education, career and publication** opportunities with the student and aim to stay in contact with the student with regard to such developments.

## Co-supervisors

Co-supervisors can:

- 7.4.1 provide an opinion or a perspective **from an additional area of expertise**.
- 7.4.2 in cases where the **main supervisor is external to the University**, facilitate the student's activities and administrative processes within UKZN and be a more regular and easily available point of contact for the student.
- 7.4.3 provide **continuity of supervision**, as may be possible or desirable in the absence or departure of the main supervisor.
- 7.4.4 **participate in meetings** with the prime supervisor and student as may be scheduled in the work plan or otherwise found to be appropriate.
- 7.4.5 **participate in the assessment** of the student's work.
- 7.4.6 alert and discuss with the prime supervisor any **conflicting advice** that may not easily be digested by the student and which may adversely impact the student's ability to complete the study.
- 7.4.7 contribute to the **main supervisor's report** or submit a separate report if warranted
- 7.4.8 support the candidate in preparation for any **oral examination**.
- 7.4.9 **in the case of junior/new supervisors**, aim to increase his/her own research efforts, expertise and competence in research supervision, with a view to becoming a main supervisor.

## 8. STUDENT ROLES AND RESPONSIBILITIES

The student should:

### 8.1 At the outset:

- 8.1.1 become familiar with and seek to comply with these guidelines and other policies, procedures and regulations as these may apply to research supervision.
- 8.1.2 play an informed role in the **choice of his/her supervisor**, but noting the selection and appointment of a supervisor is a Faculty responsibility.
- 8.1.3 comply with the dates, processes and documentation required for **registration**, and any requirements for re-registration thereafter; and to keep UKZN and the supervisor informed of any changes (e.g. in contact address).
- 8.1.4 accept responsibility for **personal matters**, such as finding accommodation, subsistence, study fees, transport and other expenses, notwithstanding any assistance that the supervisor and the University may be able to provide.
- 8.1.5 choose a **research topic**, identified by either or both of the candidate and the supervisor, and as may be informed by such factors as interest, academic merit and funding.
- 8.1.6 accept personal responsibility, but with the assistance of the Supervisor, for developing a **Research Proposal, a Professional/Personal Development Plan** and a **Research Plan** for his/her research education; and advance this through the School to the Faculty.
- 8.1.7 develop with the supervisor a **Research Agreement**, based on the concept of reciprocal accountability between supervisor and student; and advance this through to the School for approval.
- 8.1.8 aim at the outset for a **positive attitude** to the research: devoting him/herself fully to the learning experience of carrying out the research plan; having a good work ethic and being motivated, organised and committed to the research time lines; developing initiative and a vision of him/herself as an independent researcher; ensuring the resulting dissertation or thesis is of the highest quality and is fully the candidate's own work.

### 8.2 During the course of the research:

- 8.2.1 arrange to be **appropriately located and available** to carry out the research (e.g. on campus, in a laboratory, in the field, and after hours as may be required); in the case of candidates not based at UKZN, expect to spend some time on campus interacting with the supervisor and other staff and students, which time should be scheduled in the Research Plan.
- 8.2.2 keep **appropriate records** of approvals, permissions, letters of consent, raw data, analyses, research findings, progress reports, etc; and, in case of possible loss, arrange a back-up of such records.
- 8.2.3 **maintain contact** with and provide feedback to the supervisor as agreed; inform the supervisor timeously of any unplanned absences.

- 8.2.4 discuss the **format, schedule and nature of all meetings** with the supervisor to ensure that they are fulfilling the student's needs; seek clarity on any aspect of uncertainty; ensure that any written work is submitted timeously, that the actions flowing from any meeting are noted and agreed, and make the addressing of these a priority before the next meeting.
- 8.2.5 aim to establish a **professional working relationship** with the supervisor; become familiar with the supervisor's avenues of research; be open with any matters or issues that may be interfering with progress; expect to arrive at an agreed plan to resolve these.
- 8.2.6 participate in **complementary programmes** and activities as may assist in his/her growth as a researcher; be supportive of the life of the School and Faculty.
- 8.2.7 expect to **make decisions and to take the initiative** at every opportunity to strengthen his/her role as a researcher.
- 8.2.8 submit **written reports** as may be agreed; commenting on progress and issues that may have arisen and departures from the agreed time lines; provide an action plan to respond to any such issues.
- 8.2.9 submit **preliminary chapters** of the dissertation or thesis as the research progresses and as may be appropriate, provide such submissions in an acceptable standard of language, taking note that the supervisor is not expected to play an editing role.
- 8.2.10 **in case of disputes**, disagreement, grievances and personal problems that are not resolvable with the supervisor, use such recourses as are available such as an intervention and mediation from the School or Faculty.

### **8.3 Toward the close of the research or as may occur earlier**

- 8.3.1 discuss and confirm with the supervisor the **acceptability of the research for submission**; noting that the student does **not** have to obtain the supervisor's permission to submit, but the supervisor may refuse to sign or otherwise endorse the submission should he/she feel this is warranted.
- 8.3.2 discuss and confirm with the supervisor the **processes and timelines for submission**, examination, extensions, oral examinations, etc; give appropriate notice to the Faculty of the intent to submit in line with the appropriate examination's policy.
- 8.3.3 discuss and confirm with the supervisor the proposed **presentation style**, including any particular requirements of the discipline; and be consistent in adopting this style throughout the dissertation or thesis.
- 8.3.4 prepare **written drafts** within an agreed timeframe; noting that the supervisor's role is to assist with content, form, structure and the development of a research argument; but that the supervisor is not expected to correct grammar and spelling mistakes, nor to rewrite any parts of the dissertation or thesis.

- 8.3.5 **submit copies of the dissertation or thesis** in line with the relevant examination's policy, acknowledging all assistance received and, in line with the policy on plagiarism, providing a declaration to the effect that the student has made due effort to understand the meaning of plagiarism and bears full responsibility thereof.
- 8.3.6 comply with any **corrections, revisions and extensions** recommended by the examiners and re-submit the dissertation or thesis in line with the appropriate re-examination's policy.
- 8.3.7 discuss with the supervisor and any co-supervisor the expectation to **seek a publication(s)** from PhD research and to assess if any research at a Master's level may be worthy of publication; agreeing on how such a publication(s) will be developed and authored based on the various contributions to the research work; advancing such a publication through the relevant steps.
- 8.3.8 discuss with the supervisor, any co-supervisor or co-workers, and the UKZN Research Office any aim to secure **intellectual property** rights for the work emanating from the study or technology transfer of such property that may have commercial potential; developing an Agreement covering how this is to be structured taking into consideration the contributions of the various role-players.
- 8.3.9 discuss **future education and career opportunities** with the supervisor and aim to stay in touch with the supervisor with regard to such developments.
- 8.3.10 complete a **Postgraduate Student Completion Survey**.



## **Annexure 1**

### **Members of the Senate Sub-Committee on Higher Degrees**

Prof NM Ijumba (Chair)  
Prof R Teer-Tomaselli  
Prof E Couzens  
Dr L Middleton  
Prof D Jaganyi  
Prof D Bhana  
Prof K Govender  
Prof F Takawira  
Prof SJ Botha

## **Annexure 2**

### **Schedule of Meetings**

5 March 2010

20 April 2010

6 September 2010

## Bibliography

These Guidelines draw on and benefit from an analysis of a number of documents from UKZN and other universities and these sources are gratefully acknowledged.

1. Stellenbosch University: Code of Conduct for the Relationship between Supervisor/Promoter and Research-based Postgraduate Student.
2. University of Cape Town, Doctoral Degrees Board: Guidelines for the Appointment of Supervisors of Doctoral Candidates.
3. University of Cape Town, Doctoral Degrees Board: Guidelines for the Information and Use of PhD Candidates and Supervisors.
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