



UNIVERSITEIT VAN PRETORIA
UNIVERSITY OF PRETORIA
YUNIBESITHI YA PRETORIA

FACULTY OF EDUCATION
UNIVERSITY OF PRETORIA

**POSTGRADUATE RESEARCH POLICY, GUIDELINES
AND PROCEDURES FOR MASTER'S AND DOCTORAL
STUDENTS AND SUPERVISORS**

FEBRUARY 2010

**NEW FACULTY POSTGRADUATE RESEARCH POLICY,
GUIDELINES AND PROCEDURES FOR MASTER'S AND DOCTORAL
STUDENTS AND SUPERVISORS**

February 2010

In the past number of years the Faculty of Education has experienced a constant upward growth in the number of post-graduate students enrolling for and completing master and doctoral degree studies. This trend is a positive achievement and we would like to sustain this growth while maintaining and enhancing high academic standards. For this reason it is important to ensure that students and academic staff across the departments within the Faculty adopt procedures and processes that will contribute to excellence in postgraduate research. This Postgraduate Research Policy aligns the policies and procedures of the Faculty with those of the University of Pretoria and brings all the stipulations and requirements together in a single document for ease of reference and to ensure standardization of our processes and procedures.

The Policy document discusses a much more rigorous process for selecting students so that only the best students are admitted to these advanced programmes in educational theory and research. Accordingly, no student will be selected for master or PhD studies without passing through an in-depth personal interview with senior academics in the Faculty. Furthermore, every postgraduate student will be required to pass a defence of a comprehensive research proposal at the end of the first year of studies. In short, the Faculty endeavours from its side to ensure that when you graduate, you will be proud to carry with you a world-class degree in education that should enable you to compete in any university or professional setting with competence and confidence. We commit ourselves to render you the support and supervision that will make this possible. In return, we expect you to follow closely the 'guidelines and procedures' documented in this document for it will enable you to enjoy and take the maximum benefits out of this training programme.

Signed:

**Dean of Education
University of Pretoria**

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IMPORTANT NOTE:

The Postgraduate Research Policy document and the relevant guidelines should be read in conjunction with

- **General Regulations**
<http://web.up.ac.za/sitefiles/file/1/25Jan2010%20General%20Regulations%20en%20information%202010%20.pdf>
- **Faculty Regulations and Syllabi**
<http://web.up.ac.za/sitefiles/file/1%20Jaarboeke%202010/Education%202010%20wb.pdf>

1. PROCEDURES FOR APPLICATION, SELECTION AND ADMISSION TO MASTER'S AND DOCTORAL DEGREE STUDIES

1.1 ENROLMENT PLANNING

- a. During September every year, each Academic Department within the Faculty of Education will conduct an annual audit of its capacity to take in new master's and doctoral students for the following academic year.
- b. In conducting an annual audit, the Department needs to take into account the available expertise within the Department, the workload of academic staff in terms of postgraduate supervision, the need to develop the capacity of young academic staff in the Department, the envisaged successful completion rates of students, as well as the possible attrition rates of students as a result of poor progress and/or other factors.
- c. Each Department should refrain from automatically taking in new students in any specific year, but should base its intake on the enrolment planning envisaged in Sections 1.1a and b.

1.2 ADMISSION REQUIREMENTS

- a. Admission requirements are set out in the *General Regulations* and in the *Regulations and Syllabi for the Faculty of Education* (Yearbook). Additional requirements set out by the Faculty are indicated in Sections 1.2 b and c.
- b. Applicants for the master's degree are required to have obtained an average mark of at least 60% at honours or related degree level and those applying for doctorate studies, at least 60% for the dissertation at master's degree level.
- c. The selection process is an integral part of quality assurance in the Faculty and a student will not be admitted to postgraduate studies purely on meeting the stipulated minimum requirements.

- d. All students applying for admission to master's or doctoral studies will be screened and selected by the relevant academic department on behalf of the Faculty of Education based on merit. Selection will take into consideration documentation submitted by the candidate as well as personal interviews conducted by the relevant department. The final selection decision rests with the Faculty and a student will not be admitted without an in-depth interview to judge academic readiness and quality of the candidate.
- e. All decisions pertaining to the selection and admission of students will be fair and transparent.

1.3 PROCEDURES FOR THE RECOGNITION OF PRIOR LEARNING

- a. Applicants who are not in possession of the minimum academic qualifications set out in the *Faculty Regulations and Syllabi* policy may apply for the recognition of prior learning.
- b. The stipulations and procedures set out in *General Regulation* (G.62) will apply in these cases.
- c. Applications must be directed to the relevant Head of Department.

1.4 APPLICATION PROCEDURES

- a. Applicants are required to apply for admission into master's (coursework and research options) or doctoral degree studies before 30 September¹ of the preceding year on the appropriate application and selection forms obtainable from Student Administration (Groenkloof Campus).
- b. The application form is to be accompanied by a typed two-page outline of the theme/topic of the proposed study, the problem statement, and a preliminary indication of the importance of the intended research as well as the methodology to be used in the research. The purpose of this preliminary proposal is to assist each department in the selection process.
- c. A complete transcript of previous studies should accompany the application.
- d. The application form must clearly indicate the department of choice for the proposed postgraduate study.

¹ 31 July in the case of MEd (Educational Psychology) and 31 August for international students

- e. All applications should be handed in at Student Administration where the selection form will be attached to the application form and then forwarded to the relevant department for selection purposes.
- f. Applicants are requested not to submit their applications directly to an academic department.
- g. Applications received after the closing date for applications will be not considered.
- h. Incomplete applications will also not be considered.

1.5 SELECTION PROCEDURES

- a. Application and selection forms will be sent to the Heads of Department.
- b. Each Head of Department will convene a meeting with senior academics in the department to do a *coarse sieve* selection. This implies that candidates who do not meet the minimum requirements set by the Department will not be considered.
- c. The Head of Department will appoint selection committees to undertake the final selection.
- d. Candidates who meet the requirements set by the Department will be invited for an interview with the selection committee. The task of the committee is to assess the potential of the candidate to successfully complete his/her studies within the required time frame and of a quality required by the department.
- e. During the interview, the selection committee will establish the potential student's field of interest in order to identify a possible supervisor and mentor. The following guidelines may serve as a basis for the selection of students:
 - Motivation for wanting to pursue postgraduate research.
 - A firm grasp of the knowledge field of the proposed study (for example, the current "burning issues"; the most respected journals; the most respected authors).
 - Understanding of research and ability to interpret research findings.
 - Language proficiency with specific attention to academic reading and writing ability.
 - Computer literacy and access to the Internet.
- f. Departments may also request the supervisor of the master's degree of a doctoral candidate or a lecturer from the institution where the applicant completed his/her honours degree, to submit a confidential report.

- g. After the interview, the chairperson of the departmental selection committee will complete the *Admission to postgraduate studies*. This document, signed by the Head of Department and accompanied by the student's completed documentation, should be forwarded to Student Administration.
- h. The selection committee will recommend a suitable supervisor and or co-supervisor for the selected candidate.
- i. The number of candidates to be enrolled will be determined by the enrolment planning for a specific year (see Section 1.1).

1.6 APPOINTMENT OF SUPERVISORS AND CO-SUPERVISORS

- a. During or shortly after the screening and selection process, the Head of Department, in consultation with academic staff members, will nominate a suitable supervisor and co-supervisor (if necessary) and complete the *Registration of a supervisor* form (Annexure A).
- b. The Postgraduate Committee, on the recommendation of the Head of Department concerned, nominates a supervisor and/or co-supervisor for a particular candidate.
- c. Should the Postgraduate Committee refuse to confirm the recommendation by the Head of Department, the matter is referred to the Dean for a final decision.
- d. A person appointed as supervisor should hold the necessary qualifications and have the appropriate academic stature and experience to supervise postgraduate candidates. Academic staff members who have not co-supervised at least three students to completion of their studies may not be appointed as supervisor without a co-supervisor as mentor.
- e. A person appointed as supervisor, must be associated with the University as a full-time lecturer, unless adequate justification can be submitted to the committee as to the reason for appointing an external supervisor.
- f. On the retirement or resignation from University service, a supervisor may, with approval of the Postgraduate Committee concerned, and after consultation with the Head of Department, for a period of no longer than two years after retirement or resignation, still act as the appointed supervisor in order to enable the student to complete his/her dissertation/thesis. During this period and for the purpose of supervision, such a supervisor will be deemed to be an approved lecturer of the University. If on the retirement or resignation from University service, a supervisor is no longer prepared to

act as the appointed supervisor for the student, a new supervisor will be appointed (see Section G 57.3)

- g. The names of all selected candidates and the approved supervisors must be submitted to the Faculty Board for notification.

1.7 ADMISSION

- a. Student Administration will finalise the admission of the student on receipt of the approved forms from the Head of Department.
- b. Student Administration will inform the student in writing of the outcome of the application.
- c. All students are to register during the registration period as communicated during December of the preceding year. This requirement also applies for registration in subsequent years.
- d. A student will only be supervised if registered for that year of study.

1.8 ADDITIONAL REQUIREMENTS FOR MASTER AND DOCTORAL DEGREE STUDIES

- a. After registration, the supervisor and student will enter a *memorandum of understanding* in terms of their expectations and planning for the studies and it is the student's responsibility to manage his/her studies in accordance with this agreement (see Annexure B or consult UP website at <http://web.up.ac.za/default.asp?ipkCategoryID=8768>).
- b. A student enrolled for the doctoral or master's degree, irrespective of whether it is for the full dissertation or the master's by coursework, must submit a research proposal during the first year of registration and defend it successfully before a panel of examiners appointed by the Head of Department in collaboration with the supervisor, before commencing with the research such as the review of the literature and methodology literature.
- c. On approval of the research proposal, a student must then apply for ethical clearance to the Faculty of Education Research Ethics Committee (see Annexure C) and may only commence with fieldwork once the application for ethical clearance has been approved by the Research Ethics Committee.
- d. Fieldwork may not be undertaken without prior ethical clearance.
- e. Attendance of research support sessions is compulsory for all master's and doctoral students throughout the registration period. An attendance certificate will be issued at the

conclusion of a session. These certificates of attendance must be signed by the coordinator of the research support sessions and included when the dissertation is submitted for examination as the Postgraduate Committee will take such certification into consideration when discussing the progress of the student.

- f. In addition, the Faculty encourages all master and doctoral students to:
 - form “theme groups” in which students with similar theoretical or methodological interests meet on a regular basis; and
 - participate actively in Research Seminars and the Annual Research Indaba.
- g. All master's students must pass Research Methodology (NMQ 810) and Education, Development and Globalisation (OOG 810) and submit a dissertation or a mini-dissertation. A student may apply for exemption from the requirement of completing these modules if these or similar modules have recently been passed at NQF level 8 (HEQF 9).
- h. Each student is to submit an annual progress report indicating the progress made during the year of registration (see Section 4.1). The Postgraduate Committee of the Faculty may refuse a student permission to continue with postgraduate studies if satisfactory progress cannot be demonstrated or if the requirements stated in Sections 1.8 b and c have not been met.
- i. On completion of the research each master and doctoral degree student should submit a copy of one publishable article based on the research conducted for the dissertation or the mini-dissertation and approved by the supervisor. In the case of a PhD proof that it was submitted to an accredited academic journal must be submitted (see Section 4.4). The copy of the article must be submitted at Student Administration before 15 February for the Autumn-graduation ceremonies and before 15 July for the Spring graduation ceremonies. It remains the responsibility of the student and supervisor to oversee the process of ensuring that the article is published in an accredited journal. Failure to meet these deadlines will result in the degree being awarded during a subsequent series of graduation ceremonies.

2. PROCEDURES FOR THE DEVELOPMENT AND APPROVAL OF THE RESEARCH PROPOSAL

2.1 PURPOSE OF THE RESEARCH PROPOSAL

- a. A research proposal is a document that outlines how a postgraduate student proposes to undertake a specific research project.

- b. The research proposal is a crucial step in the research process and must undergo intensive scrutiny to ensure that quality assurance is built into the research process at an early stage in order to optimise the quality of the research that will emanate from the approved research proposal.
- c. The research proposal should be a substantive proposal reflecting the student's thinking about an identified problem at the start of the research process giving evidence of a firm grasp of the problem to be studied, a thorough understanding of current and relevant literature on the topic, research approach and methods to be employed, and ethical issues to be considered.

2.2 DISTINGUISHING BETWEEN DISSERTATIONS, MINI-DISSERTATIONS AND THESES

2.2.1 Master's degree

- a. The main purpose of a master's degree is to train and educate researchers who are able to contribute to the development of knowledge at an advanced level.
- b. A master's degree may be earned either by completing a single advanced research project, culminating in the production and acceptance of a dissertation or by successfully completing a coursework programme requiring a high level of theoretical and intellectual engagement and a research project of limited scope.
- c. Master's degree graduates must be able to deal with complex issues systematically and creatively, make sound research judgements based on data and information, and communicate their conclusions clearly in a dissertation of high quality.
- d. The research proposal of approximately 20-30 pages at **master's degree level** should illustrate that the implementation thereof will enable the student to demonstrate the ability to conduct scientific research independently.
- e. A **dissertation of full scope** should be indicative of the ability of the student to conduct research at a master's degree level and should reflect a critical understanding of the theoretical underpinning of the area of focus and of the apposite research methodologies needed to generate data, apply sound data analysis techniques and report comprehensively on the findings of the research in a document of approximately 150 pages.
- f. A **mini-dissertation** should reflect the student's ability to conduct research at a master's degree level and should display insight and understanding in the theoretical underpinning of the field of study and the research approach needed to execute the research and report on the findings in a dissertation of approximately 75 pages. The units of analysis, the variables, the number of participants/respondents, may be less,

but the scientific rigour and standard of work produced must be of comparable standard to that of a full dissertation.

2.2.2 Doctoral degree

- a. At doctoral degree level, a student must be able to undertake research at the most advanced level and with scholarly excellence to produce, defend and have the thesis accepted by the examining committee. The defining characteristic of this qualification is that the student must demonstrate high-level research capability and make a significant and original contribution at the cutting edge of education applicable to the field of specialisation.
- b. At a doctoral level, the research proposal of approximately 30-40 pages, should be indicative of more advanced work that engages critical philosophical reflection and will enable the student to make a contribution to the knowledge or understanding of a specific phenomenon within the field of specialisation or that will lead to the development of educational technology (for example, the development of a new teaching strategy or assessment method, the development of a measuring instrument, or the development of new interactive computer teaching).
- c. A thesis is a high quality scientific research study that reflects the ability to deal with concepts and data at an advanced level depicting the thorough grounding of the student in the theoretical underpinning of the field of study. In addition, a thesis should illustrate the student's research competence to deal with research at a doctoral level and to report comprehensively in approximately 240 pages on the new knowledge and insights gained through the study.

2.3 ASSESSMENT CRITERIA FOR A RESEARCH PROPOSAL

- a. The following criteria will be considered when assessing the research proposal:
 - Clarity in defining of the research area and relevance of the theme;
 - The candidate's insight into the problem and the goals with the research;
 - The candidate's knowledge of relevant literature;
 - The ability of the candidate to design and describe applicable research methods;
 - The ability of the candidate to consider and deal with ethical aspects of the research;
 - Scientific character of the contents;
 - The language and technical editing of the proposal.

2.4 TECHNICAL SPECIFICATIONS FOR A RESEARCH PROPOSAL

- a. The length of a research proposal for master's degree studies should be approximately 15-25 pages and for doctoral studies, 25-40 pages. The quality of the proposal is the key aspect to be considered rather than the actual length of a proposal.
- b. The proposal must demonstrate the student's ability to engage in academic writing and attention must be paid to the use of language in the proposal. Not only should the proposal be free of grammatical errors, but the scientific and technical language used must be apposite to the standard set for a good proposal.
- c. All research proposals must be typed in 12pt font and 1.5 spacing with 2.5cm margins.
- d. All sources referred to and cited in text, must be correctly referenced according to Harvard or APA and listed under *References* at the end of the proposal.

2.5 CONTENT OF A RESEARCH PROPOSAL

- a. Although there are no fixed guidelines for a research proposal, most research proposals will include at least the following aspects:

The proposed title must be sufficiently clear to reflect the nature and intention of the research.

The background/rationale provides a succinct outline of the reasons why the study should be undertaken and the general objectives of the study.

The preliminary literature review should reflect the student's reading on the topic that helped narrow down and formulate the research problem.

The aims/objectives of the study answers the question: What is it that you want to achieve? A student should guard against over ambitious or exaggerated statements of what he/she wants to achieve and should rather focus on tangible concrete outcomes for the research that are appropriate and in line with the level at which the study is conducted.

The problem statement and/or research question must be stated in clear and unambiguous terms and is often formulated in terms of a central research question with a number of sub-questions or as a number of research hypotheses.

The research design should clearly answer the key question: What type of research and methodological approach would be best suited to study the problem identified in the problem statement? This is a vital part of the proposal as it maps out the process that will emanate from the research proposal.

The research methods should give specific attention to the unit(s) of analysis, the research techniques such as data gathering instruments and data-collection methods to be used, sampling, data analysis and the presentation of data.

Trustworthiness of the study requires that attention is given to ensuring reliability and validity in quantitative studies or trustworthiness and credibility if a qualitative study is proposed.

Ethical considerations should be in line with the ethical requirements set by the Faculty of Education, University of Pretoria and the ethical codes of professions which are recognised by the University.

The timeframe should be a realistic outline of the milestones to be achieved in the research specifying the dates on which these milestones will be achieved. This will form the basis of the contract between the supervisor and the student.

A provisional outline of chapters for the dissertation

The references consist of a list of the sources referred to in the text of the research proposal and not a reading list of possible sources that the student will consult.

2.6 RESEARCH SUPPORT AT POSTGRADUATE LEVEL

- a. The purposes and intent of postgraduate studies (especially at doctoral level) is not only to do research of a specific research topic, but also to contribute to the scholarly development of the student. This will be achieved through the creation of opportunities to advance the student's development such as research seminars and a research support programme.
- b. The purpose of the research support programme for master's and doctoral students in the Faculty of Education is to enhance and promote quality research at postgraduate level. It offers opportunities for the student to interact with academics from the Faculty and other students with the view to developing a community of scholars. In creating such a forum, the student will be able to interact and share research experiences, engage in discussion of topics relevant to research and education in general, which will encourage critical thinking and develop and promote academic writing.
- c. The research support programme focuses on the following aspects:
 - Grounding in advanced topics in educational theory and educational issues.
 - Improved understanding of research methodological aspects.
 - Epistemological and ontological aspects in educational research.
 - Qualitative and quantitative research approaches.

- Data analysis and presentation of data.
 - Academic reading and writing skills.
- d. Departments and supervisors responsible for the supervision of postgraduate students must ensure adequate supervisor guidance and support to assist students. The guidance and support could be linked to the research support programme offered, but should not be limited to the support programme.
 - e. Student progress should be carefully monitored by the supervisor to ensure that each student is able to defend the research proposal during the first year of registration and be able to complete the studies within the timeframe suggested for postgraduate studies.
 - f. An at risk student should be identified by the supervisor and discussed with the Head of Department.

2.7 PROCEDURES FOR APPROVAL OF RESEARCH PROPOSAL

2.7.1 General

- a. The objective of establishing procedures for the approval of research proposals is to enhance the quality of postgraduate studies and all inputs and constructive criticisms should be aimed at improving the quality of the end product. This does not absolve the supervisor and the student from the responsibility of ensuring the production of a quality proposal. It is not the task of any appointed committee to write the proposal on behalf of a student.
- b. It is recommended that the research proposal and the ethical clearance application are drafted simultaneously to ensure that ethical issues are considered at the drafting stage of the research proposal (see Section 3).
- c. All students must successfully complete and defend their research proposals during the first year of registration. Students defending during the first semester of the second year of study should be the exception rather than the norm.

2.7.2 Master's degree (coursework and full dissertation)

- a. The student, with the help and guidance of the supervisor, must draft a research proposal of an acceptable standard.
- b. Once the supervisor and student are satisfied with the proposal, the student is requested to defend the proposal before an academic panel of assessors appointed by the Head of Department in collaboration with the supervisor and research co-ordinator (an internal departmental committee).

- c. The research proposal should be made available to the panel members **one week prior** to the defence meeting.
- d. All academic staff from the department will be invited to attend the **defence** of the proposal, but each department must ensure the appointment of a committee of academics to act as assessors.
- e. At the meeting, the student will be given the opportunity to present the proposal and time will be allocated for questions and discussions. The aim of the question and discussion session is to cross-examine the student, gain clarity and offer suggestions for improvements which will inform the quality of the proposal.
- f. The departmental defence panel should include **at least** the following staff members to ensure that the proposal is successfully defended:
 - Chair (Head of Department or appointed chair)
 - Co-ordinator of MEd studies
 - Research Ethics Committee Reviewer
 - One other academic from the department or from the field of specialisation who acted as critical reader for the proposal.
 - Supervisor (and co-supervisor)
- g. At the conclusion of the departmental defence, the panel will decide whether the proposal is:
 - Approved
 - Approved with minor corrections (candidate to make minor revisions to the satisfaction of the supervisor)
 - Provisionally approved (candidate to make major revisions to the satisfaction of the supervisor and two panel members)
 - Not approved (need to defend again or resubmit to the supervisor, chair of proposal defence and one other academic)
 - Referred to Postgraduate Committee for consideration.
- h. The outcome of the defence must be reported on the *Proposal Defence* Form (see Annexure D). This form may be adapted to the needs of the Department.
- i. The Department must inform the student in writing of the outcome of the research proposal defence except in cases where the decision was referred to the Postgraduate Committee. A copy of this letter should be sent to chair of the Research Ethics Committee and the supervisor of the student for record purposes.
- j. On approval of the proposal at the departmental meeting, the student is required to submit an application for ethical clearance (see Annexure C). However, fieldwork may not commence before ethical clearance is granted (See Section 3).

- k. The supervisor will register the approved title by completing the *Registration of Title* form (see Annexure E) and submitting it to Head of Department (also see Section 2.8 regarding the process for approval of titles). Please note that the recommendation for the appointment of examiners need not be submitted at this stage. Annexure E should only be submitted after submission of an application for ethical clearance.

2.7.3 Doctoral degree

- a. The student, with the help and guidance of the supervisor, must draft a research proposal of an acceptable standard.
- b. Once the supervisor and student are satisfied with the proposal, two critical readers are appointed to evaluate and report on the proposal. The critical readers will scrutinise the proposal and make recommendations for the improvement of the proposal. The critical readers should be from the field of specialisation and may include external experts.
- c. The student must defend the research proposal before an academic panel of assessors appointed by the Head of Department in collaboration with the supervisor and research co-ordinator.
- d. The research proposal must be made available to panel members not later than **one week prior** to the departmental defence date.
- e. Academic staff and doctoral students will be invited to attend the defence of the proposal.
- f. At the meeting, the student will be given the opportunity to present his/her proposal and time will be allocated for questions and discussions.
- g. The academic panel for the proposal defence should consist of **at least** the following staff members to ensure that the proposal is successfully defended:
 - Chair (Head of Department or designate).
 - Critical readers appointed by the HOD on nomination of the supervisor. If the external critical readers are unable to attend the proposal defence, their reports must be tabled and discussed at the defence.
 - Research Ethics Committee Reviewer
 - Experienced academic (with PhD) from another department in the Faculty as observer
 - Academics from within the department
 - Supervisor (and co-supervisor).
- h. At the conclusion of the departmental defence, the panel will decide whether the proposal is:
 - Approved

- Approved with minor corrections (candidate to make minor revisions to the satisfaction of the supervisor)
 - Provisionally approved (candidate to make major revisions to the satisfaction of the supervisor and two panel members)
 - Not approved (need to defend again or resubmit to the supervisor, chair of proposal defence and one other academic)
 - Referred to Postgraduate Committee for consideration.
- i. The outcome of the defence must be reported on the *Proposal Defence* Form (see Annexure D). This form may be adapted to the needs of the Department.
 - j. The Department must inform the student in writing of the outcome of the research proposal defence. A copy of this letter should be sent to Chairperson of the Research Ethics Committee and the supervisor for record purposes.
 - k. On approval of the proposal at the departmental meeting, the student is required to submit an application for ethical clearance and receive approval before commencing with fieldwork.
 - l. The supervisor will register the approved title by completing the *Registration of Title* form (see Annexure E) and submitting it to the Head of Department (also see Section 2.8 regarding the process for approval of titles). Please note that the recommendation for the appointment of examiners need not be submitted at this stage. Annexure E should only be submitted after an application for ethical clearance has been submitted.

2.8 PROCEDURES FOR THE REGISTRATION OF A TITLE FOR A DISSERTATION/ THESIS

- a. On approval of the research proposal of the student and after an application for ethical clearance has been submitted, the supervisor must complete the *Registration of Title* form (Annexure E) and submit it to the Head of Department for approval.
- b. The Head of Department must ensure that the title and nominated external examiners meet the criteria set for the title as well as those set for external examiners before signing the *Registration of Title* form.
- c. In the case of a master's degree, three external examiners must be nominated on the *Registration of Title* form (Annexure E) and in the case of a doctoral study, four external examiners of which at least one must be a recognised international expert in the field of specialisation from outside South Africa (See Section 5.1 for the number of examiners who will be appointed).
- d. The Head of Department submits the *Registration of Title* form (Annexure E) to the Postgraduate Committee for approval of the title.

- e. Student Administration submits the approved titles to the Faculty Board for ratification.
- f. Administration will inform the student and supervisor in writing of the approved title.
- g. The student and supervisor must ensure that the exact wording of the approved title appears on the dissertation/thesis.
- h. Should the need arise to change an approved title, the same procedure as set out in Section 2.8 a-d must be followed and the Research Ethics Committee must be notified for amendments to the ethical clearance certificate.
- i. Please note that the application for the approval of external examiners by the Postgraduate Committee must be submitted by the Head of Department six months prior to the student submitting the dissertation for examination.

3. PROCEDURES FOR THE APPLICATION OF ETHICAL CLEARANCE AND THE PREVENTION OF PLAGIARISM

3.1 THE PURPOSE OF ETHICS REVIEW

This Section must be read in conjunction with the UP Code of Ethics for Research and the UP policy and procedures for responsible research (S4083/00 amended).

- a. The purpose of ethics review at the University of Pretoria is to ensure that research at the University takes place within an academic value system that emphasises ethical principles such as justice and credibility. To determine whether research takes place within this value system, the University provides for a system of disclosure, pre-approval, recordkeeping, accountability and evaluation.
- b. The process of ethics review is intended to fulfil the University's social responsibility to the participants in the communities that it serves by assessing the ethical compliance of proposed research. An ethics review contributes to elevating the quality of research in the Faculty of Education, where research is conceived not simply as a set of techniques, but as a well-considered, ethically grounded process that builds values such as trust, respect, empathy and dignity among both the researcher and the researched. In such a process, participants are treated as authentic "respondents" in the research endeavour and not simply as "objects" to be studied.
- c. The broader goals of the ethics review of research in the Faculty of Education are:
 - to develop a high standard of ethics and ethical practice in the conceptualisation and conduct of educational research among students and researchers;
 - to cultivate an ethical consciousness among scholars especially in research involving human respondents; and

- to promote, among researchers, a respect for the human rights and dignity of human respondents in the research process.
- d. The ethics review process is guided by the following principles common to research involving human respondents:
- the principle of *voluntary participation* in research, implying that the participants may withdraw from the research at any time;
 - the principle of *informed consent*, meaning that research participants must at all times be fully informed about the research process and purposes, and must give consent to their participation in the research;
 - the principle of *safety in participation*; put differently, that the human respondents must not be placed at risk or harm of any kind, for example, research with young children;
 - the principle of *privacy*, meaning that the *confidentiality* and *anonymity* of human respondents must be protected at all times; and
 - the principle of *trust*, which implies that human respondents will not be respondent to any acts of deception or betrayal in the research process or its published outcomes.

3.2 PROCEDURES FOR COMPLETING AND SUBMITTING AN APPLICATION FOR ETHICAL CLEARANCE

- a. The student should consider the application for ethical clearance simultaneously with the drafting of the research proposal to ensure that ethical issues are considered at the drafting stage of the proposal. Students should submit their application for ethical clearance after successful defence of the research proposal. Application for ethical clearance is submitted by the student, via the supervisor and Head of Department to the Faculty of Education Research Ethics Committee (see Annexure C).
- b. The student has the responsibility to obtain ethical clearance before commencing with fieldwork and the supervisor must ensure that ethical clearance has been obtained before supervising the student's fieldwork. The Head of Department's responsibility is to ensure that all research in the Department undergoes ethical clearance.
- c. Once the supervisor is satisfied with the application for ethical clearance, it must be signed by the supervisor and Head of Department before submission to the Research Ethics Committee.

- d. Three hard copies of the completed application for ethical clearance, with supporting documentation, must be submitted to the Research Ethics Committee for approval.
- e. The Research Ethics Committee communicates the outcome of the application to the student and supervisor and if the outcome is successful, the student may proceed with fieldwork.
- f. At the conclusion of fieldwork, and before submission of the dissertation or thesis, an ethical clearance certificate is issued provided that:
 - the student and supervisor declare that the research was conducted according to the conditions of approval by the Research Ethics Committee and that no significant changes occurred which necessitate a new review;
 - the raw data in the research project has been submitted to the supervisor or Head of Department for safekeeping; and
 - the title, registered with the Postgraduate Committee of the Faculty of Education, is submitted.
- g. The Chairperson of the Faculty of Education Research Ethics Committee is also a member of the UP Sub-Senate Committee for Research Ethics and Integrity. The Chairperson is bi-annually required to compile a report on the research projects which received ethical clearance as well as those that were rejected or for which amendments were requested.

3.3 PREVENTING PLAGIARISM

3.3.1 General

In terms of the *UP policy and procedures for responsible research* (S4083/00 amended) research plagiarism is included in the definition of research misconduct at the University. Please consult the following information on the UP Anti-Plagiarism website:

<http://upetd.up.ac.za/authors/create/plagiarism.htm>

The following information is also available:

Guidelines for Staff: <http://upetd.up.ac.za/authors/create/plagiarism/staff.htm>

Guidelines for Students: <http://upetd.up.ac.za/authors/create/plagiarism/students.htm>

4. PROCEDURES FOR FINALISATION OF DISSERTATIONS AND THESES

4.1 MONITORING AND ENSURING PROGRESS OF STUDENTS

- a. It is the responsibility of the supervisor to ensure that the following approvals have been secured as stipulated in Sections 2.7, 2.8 and 3:
 - The research proposal has been approved.
 - The application for ethical clearance has been submitted and approved.
 - The title and external examiners have been approved.
- b. The supervisor should ensure that regular contact with the student is maintained throughout the year so that progress is monitored. A student who does not make satisfactory progress, should be reminded of the fact that continued participation in the programme is dependent on the progress demonstrated during the year.
- c. All supervisors and students are required to submit a progress report to the Head of Department before the end of August of each academic year. The supervisor verifies the contents of the report and recommends whether or not the student be allowed to continue with the studies based on progress made during the year (see Annexure F).
- d. Each Head of Department is required to submit an annual integrated progress report of all postgraduate students registered in the department to the Postgraduate Committee. The Postgraduate Committee will then prepare a yearly report for the Faculty Board detailing/outlining the progress of postgraduate students.
- e. In deciding on the continuation of a student's studies, the annual progress report will be taken into account to verify or negate student progress.
- f. Progress report forms, with the recommendation of the Head of Department, will be submitted to the Postgraduate Committee. The Postgraduate Committee has the authority to recommend that because of insufficient progress, a student's postgraduate studies are terminated.
- g. Students may appeal the decision to the Dean of the Faculty. The Dean's decision is final.

4.2 SUBMISSION OF A MINI-DISSERTATION, A DISSERTATION, OR A THESIS

- a. The supervisor has the responsibility to ensure that a mini-dissertation, a dissertation or a thesis satisfies the minimum standards set for a dissertation/thesis and are of the required technical quality to be submitted for examination.

- b. A student is not permitted to submit a dissertation or thesis for examination before the supervisor has given final approval. In cases where a student disputes the decision of the supervisor, the student may appeal to the Postgraduate Committee to review the decision. However, the decision of the Postgraduate Committee is final.
- c. The student must inform Student Administration in writing (three months in advance) of the intention to submit the dissertation or thesis. Student Administration will verify that the external examiners are still available and will provide the student with the relevant forms needed to submit the dissertation/ thesis (see Annexure G).
- d. Before the student submits the dissertation/thesis, the supervisor is required to check the documentation and sign the required checklist as well as the declaration that must accompany the submission.
- e. Before submission of the work, the student must ensure that the work has been language edited by a competent language editor and a letter from the language editor certifying that the work has been edited, must be submitted with the final copies of the dissertation/ thesis.
- f. For examination purposes, a student must, in consultation with the supervisor, submit a sufficient number of bound copies of the dissertation/thesis, printed on good quality paper and of good letter quality, to the Head: Student Administration, before the closing date for the various graduation ceremonies as announced annually.
- g. A master's or doctoral degree student has to sign the following declaration for inclusion in the dissertation: *I declare that the dissertation/thesis, which I hereby submit for the degree at the University of Pretoria, is my own work and has not previously been submitted by me for a degree at this or any other higher education institution.*
- h. If a dissertation/thesis is accepted, but the student is required to make certain amendments in accordance with the examiners' decisions, the amendments should be made to all copies to the satisfaction of the supervisor. The supervisor then submits a declaration to this effect to the Head: Student Administration by 15 February for the Autumn ceremony and 15 July for the Spring ceremony at which the degree is to be conferred.
- i. In addition to the copies mentioned in Section 4.2 f above, the student must submit a bound paper copy as well as two electronic copies of the approved dissertation/thesis to the Head: Student Administration in the format specified by the Faculty and in accordance with the minimum standards set by the Department of Library Services by 15

February for the Autumn ceremony and 15 July for the Spring ceremony, failing which the degree will not be conferred.

4.3 TECHNICAL EDITING OF THE DISSERTATION AND THESIS

The technical editing of a dissertation/thesis should comply with the requirements set out in *General Regulations G58 and Annexure G*.

4.4 DRAFT ARTICLE FOR PUBLICATION

- a. The Faculty places emphasis on the importance and need for the wider dissemination of research results to the research audience. This can best be achieved by publishing research findings in accredited journals. It is therefore important that postgraduate students realise that the publication of a research article based on their studies is essential.
- b. A student, before or on submission of a dissertation must submit at least one draft article for publication in an accredited academic journal and in the case of a thesis, must submit proof of receipt of an article by an accredited journal, to the Head: Student Administration. Conferment of the degree is subject to compliance with the stipulations of this regulation.
- c. The draft or accepted article, as the case may be, should be based on the research that the student has conducted for the dissertation/thesis and be approved by the supervisor.
- d. Generally, the student is the principal author of the article and the supervisor the co-author. Circumstances may require that authorship is structured differently. However, authorship needs to be resolved prior to submission of the article to the journal.
- e. The supervisor is responsible for ensuring that the draft article is taken through the processes of revision and resubmission, as may be necessary.
- f. The procedures for the submission of the draft article:
 - A master's student: submits an article within six (6) weeks after submission of the examination copies but not later than 15 February for the Autumn ceremony and 15 July for the Spring ceremony;
 - A doctoral student: submits proof that an article has been submitted to an accredited journal within three (3) months after submission of the examination copies but not later than 15 February for the Autumn ceremony and 15 July for the Spring ceremony;
 - The student submits proof of submission from a recognised academic journal to which the article was submitted.

4.5 INTELLECTUAL PROPERTY RIGHT

- a. All rights with regard to intellectual property produced by a student during postgraduate studies or as a result of any research project conducted at the University or through the use of the equipment of the University are vested in the University, in terms of the contract entered into by the student at registration. This stipulation applies *inter alia* where the student works under study guidance or as a member of a project team at the University.
- b. The University and a student may negotiate an agreement regarding the publication of an essay, a dissertation, thesis and/or draft article for publication. Should the copyright of the essay, dissertation, thesis and/or draft article for publication be the only exploitable intellectual property that arises from such essay, dissertation, thesis and/or draft article for publication, the University would transfer the copyright to the student, subject to certain conditions.
- c. The University has the right to reproduce and/or publish, in any manner it may deem fit, the essay, dissertation, thesis and/or draft article for publication and to distribute such reproduction.
- d. On publication of the essay, dissertation, thesis or the draft article, or an adaptation thereof, it should be stated that it emanates from a bachelor's/master's/doctoral study at the University. The name of the supervisor/promoter and the department in which the study was completed, should also be acknowledged. Reprints should state the title and date of the original publication.

5. EXAMINATION OF THE DISSERTATION/THESIS

5.1 APPOINTMENT OF EXAMINERS

- a. The supervisor in consultation with the Head of Department compiles a list of names of potential examiners both inside and outside of South Africa (see Annexure E) from which the Postgraduate Committee appoints examiners in the following manner:
 - **For dissertation:** At least one internal examiner (supervisor) and at least one external examiner from another university other than the University of Pretoria.
 - **For thesis:** At least one internal examiner (supervisor) and at least three external examiners from universities other than the University of Pretoria, of whom at least one must be an international university.

- b. An internal examiner should not be associated in any way with the student other than as supervisor of the research.
- c. An external examiner should not be associated in any way with the student or in any way be involved in the research that the student has done previously.
- d. External examiners must be from different institutions.
- e. As far as possible external examiners should hold an academic position at another University.
- f. The external examiner should preferably not be an ex-Faculty member or a former student of the supervisor, or in cases where an ex-Faculty member is appointed, he/she should not have been a staff member of the Faculty of Education for the previous two years.
- g. As soon as a potential external examiner has accepted his/her appointment as examiner, he/she is supplied with a formal letter of appointment, an abstract of the research as well as documentation on the policy of the University concerning examinations. Examiners must sign an acceptance form which is to be returned to the Head: Student Administration.
- h. The identity of the examiners, other than the internal examiners, may not be revealed to the candidate until the examination process has been completed and then only with the consent of the examiner and the Postgraduate Committee.
- i. The information contained in the report submitted by an examiner on a dissertation or thesis may be disclosed to the student with the aim of effecting the recommended changes.

5.2 CRITERIA FOR EVALUATION

- a. Master's degree: A dissertation must provide evidence of a candidate's ability to conduct research independently and contribute to the development of knowledge at an advanced level.
- b. Doctoral degree: A thesis must demonstrate high-level research capability and make a significant and original contribution at the cutting edge of education applicable to the field of specialisation.
- c. A dissertation/thesis should comply with the requirements stipulated by the Faculty of Education and is also evaluated in terms of the aspects set out in Annexure I.

- d. The Faculty of Education assessment criteria and assessment standards for dissertations and theses are revised periodically.

5.3 THE EXAMINER REPORTS

- a. Every examiner independently and individually submits a report to the Head: Student Administration (Annexure I).
- b. In the case where a co-supervisor is appointed, the average mark of the supervisor and the co-supervisor is calculated and submitted as the internal assessment mark. The internal assessment mark is added to the marks of the external examiners to calculate the final mark.
- c. All examiner reports are treated confidentially, but information sections contained in a report submitted by an examiner may be disclosed to the student with the aim of effecting the recommended changes.
- d. Every report has to contain one of the following recommendations (as per *UP General Regulations* G60, 4B), namely:
 - that the degree be conferred without any changes to the dissertation/thesis;
 - that the degree be conferred after minor changes have been made to the dissertation/thesis by the candidate, to the satisfaction of the Head of Department;
 - that the degree be conferred after the candidate has made major changes to the dissertation/thesis to the satisfaction of the examination panel;
 - that the dissertation/thesis is not of the required standard and that the candidate be invited to resubmit it for re-examination after reviewing the dissertation/ thesis;
 - that the dissertation/thesis be rejected and that the candidate does not pass;
 - that the candidate should be called for oral questioning by the examination panel prior to finalisation of the result;
 - in the case of a dissertation, the mark that the candidate has achieved, at least 50% being regarded as a pass mark and 75% as a pass with distinction.
- e. The examiner reports are made available to the Dean and the Head of Department by the Head: Student Administration.
- f. In the case of a dissertation, the supervisor and the Head of Department review the examiner reports and submit a consolidated report with recommendations to the Postgraduate Committee.

- g. In cases where examiners differ on the outcome of the evaluation, the concerns raised by the examiner must be addressed in the consolidated report and it must be indicated how these concerns will be addressed. A minority recommendation by an examiner need not be accepted as the outcome of the examination, but the consolidated report must indicate that due consideration was given to the concerns raised. No examiner report may be ignored.
- h. In the event of a dispute regarding the outcome of an examination, the Dean, in consultation with the Postgraduate Committee and the Head of Department, will appoint an additional external examiner of standing on the topic of the research. The appointed examiner will submit a report to the Postgraduate Committee who will then submit a recommendation to the Dean for approval. Thereafter, the Dean, in consultation with the Postgraduate Committee, will reach a final decision on the outcome of the examination.
- i. In the case of a thesis, the examiner recommendations are preliminary in nature and subject to the successful completion of an oral examination by the candidate. The Head of Department and the supervisor arrange an oral examination chaired by the Dean or a senior academic designated by the Dean during which the candidate is required to defend the thesis. The appointed examiners constitute the examination commission for the oral examination.
- j. The oral defence panel will consist of the following people:
 - The Dean or a senior academic representative appointed by the Dean to serve as chair.
 - All the external examiners (if available). External examiners may participate by means of a telephone conference.
 - The supervisor (and co-supervisor)
 - The Head of Department
 - Departmental Representative
 - The panel will have the following documentation at their disposal:
 - All the external examiner reports
 - The supervisor reports
- k. The duration of the oral defence is generally 90 – 120 minutes.
- l. After the examination of the student by the panel, the examination commission constitutes a closed meeting to consider the success of the candidate's presentation, to

review all the examiner reports and then submit a recommendation to the Postgraduate Committee.

5.4 PURPOSE AND RATIONALE FOR DEFENCE

The purpose of the doctoral degree defence is to provide a final opportunity for assessment of the doctoral study. This may include:

- a presentation of findings;
- responses to written reports by external examiners on the thesis; and
- an extension of the intellectual discussion related to the thesis.

The doctoral degree defence provides a forum for interaction between the doctoral student and the examination panel.

6. THE ROLE AND FUNCTION OF THE SUPERVISOR AND STUDENT

6.1 THE ROLE AND FUNCTION OF SUPERVISOR

6.1.1 Supervising students' academic work

Academic institutions are responsible for teaching students and preparing them to enter society and to practise their disciplines according to high ethical standards. However, this applies not only to the formal presentation of courses. The University and its staff have an obligation towards the broad academic community, the students and the public to ensure that all students involved in academic and research activities do so with responsibility and with respect for the highest professional standards.

Study leaders, research leaders and administrative heads share the responsibility for providing an open and equal research environment which protects the interests of students, assistants and other vulnerable persons undergoing training. They must ensure that students are given fair acknowledgement for original work, that students are not taken advantage of for the study leader's own research purposes, that demands made on students are reasonable and that they are treated as peers with the same professional courtesy.

Opportunities should be created for students who feel that their supervision or training is inadequate, to bring the matter to the attention of the study leader, research leader or, where

necessary, the administrative head concerned. Study and research leaders should regularly meet with students, colleagues and other collaborators to evaluate the work and progress being made. Study and research leaders should serve as role models and should maintain the highest standards in the performance of research. They should encourage students to critical and independent thought and to share ideas and information with other members of the academic community. They should ensure that the experience gained by the students will contribute to preparing them for their future as independent researchers.

6.1.2 Training of postgraduate students in research ethics and integrity

Ethical issues in the carrying out of research should form an integral part of the training of all senior undergraduate and postgraduate students. Study and research leaders are responsible for providing a training environment in which issues relating to ethical values are discussed freely. A study leader should require students to have at least a basic understanding of research ethics and should encourage them to be able to identify and deal with the ethical issues relating to their research, results and publications.

Every lecturer is responsible for the establishment and execution of the principles of research ethics among students and research staff under his/her supervision. An introduction to the concepts and principles of research ethics should form part of the orientation of all postgraduate students. Study and project leaders should also serve as role models for students for the manner in which they conduct their research.

6.2 RESPONSIBILITIES OF STUDENTS

- a. Postgraduate studies remain the primary responsibility of the student. This includes initiating contact with the supervisor, knowing and understanding University and Faculty administrative requirements, and maintaining interest and commitment.
- b. A postgraduate student registered in the Faculty of Education is expected to be computer literate. One of the primary means of communication between the supervisor and student is electronic, thus creating the need for Internet access.
- c. A student must ensure that sufficient progress is made annually to be allowed to continue with postgraduate studies. Every student must submit a progress report (Annexure F) to the supervisor before the end of August of each academic year that will serve as a basis in deciding whether the student has demonstrated progress during the year under review.

- d. A postgraduate student, registering for the first time for the MEd or PhD, is expected to attend the Orientation day at the start of the academic year. During this event, students will be introduced to the Postgraduate Research Centre, the Education Library, Faculty research foci, funding opportunities, and supervisors.
- e. Specific research support sessions will be held during the course of the year. It is compulsory to attend these sessions, as the main objective is to assist the student in scholarly development (see Section 2.6).
- f. Each student must defend the research proposal successfully before being allowed to continue with studies. This exercise is aimed at sharpening research skills and improving the quality of research. A student who is unsuccessful in defending the proposal, will not be allowed to continue with postgraduate studies.
- g. Every student must apply for ethical clearance once the research proposal has been successfully defended.
- h. Conducting the fieldwork for the research is the main responsibility of the student, but all data gathering instruments must be approved by the supervisor and the departmental defence committee prior to commencement of fieldwork.
- i. The Head of Department must ensure the safe keeping and storage of all data collected during the research process and supervisors must sign an agreement to this effect (see Annexure J).
- j. Each student, on completion of the studies, is required to write and submit an article for publication in a journal. The authorship of the article will be negotiated before submission of the article and should preferably include the names of the student, supervisor and co-supervisor.

7. APPROVAL OF POLICY

This policy, *Postgraduate Research Policy: guidelines and procedures for master's and doctoral students and supervisors*, was approved by the Faculty Board of the Faculty of Education on of 2010.

8. DATE OF IMPLEMENTATION

The policy will become effective from 1 January 2010.

9. REVISION OF POLICY

The policy may be revised annually and amendments submitted for approval by the Faculty Board at its first meeting of the year.

ANNEXURES



ANNEXURE A

REGISTRATION OF SUPERVISOR

PURPOSE (Tick appropriate block)	Registration of supervisor/co-supervisor	
	Change of supervisor/co-supervisor	
	Was:	

STUDENT DETAILS:				
NAME AND INITIALS:				
STUDENT NUMBER:				
DEGREE ENROLLED FOR MEd/PhD IN:				
TOPIC/THEME:				
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YEAR				Other (Specify)

DEPARTMENT:
SUPERVISOR:
Details of supervisor if not a fulltime UP staff member:
Highest qualification:
Name of institution where employed(if any):
Postal address:
Telephone number:
E-mail address:
Motivation (if not using a fulltime UP staff member):
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CO-SUPERVISOR:
DEPARTMENT:
Details of co-supervisor if not a fulltime UP staff member:
Highest qualification:
Name of institution where employed(if any):
Postal address:
Telephone number:
E-mail address:
Motivation (if not using a fulltime UP staff member):
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Head of Department:

Date:

Dean/Postgraduate Committee:

Date:

Recommendation:

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ANNEXURE B

MEMORANDUM OF UNDERSTANDING ACADEMIC SUPERVISION REGISTERED POSTGRADUATE STUDENTS²

The role and responsibilities of both a candidate and a supervisor

CANDIDATE INFORMATION

STUDENT NUMBER:

NAME OF CANDIDATE:

CELLPHONE NUMBER:

EMAIL ADDRESS:

PROGRAMME FOR WHICH CANDIDATE IS REGISTERED:

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SUPERVISOR INFORMATION

NAME OF SUPERVISOR:

EMAIL ADDRESS:

DEPARTMENT:

CO-SUPERVISOR INFORMATION (if applicable)

NAME OF CO-SUPERVISOR:

EMAIL ADDRESS:

UNIVERSITY:

DEPARTMENT:

DATE OF REGISTRATION OF THE RESEARCH COMPONENT OF THE PROGRAMME:

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This document must be signed by both the candidate and the supervisor and be submitted to the office of the Head: Student Administration within two months after the date of registration for the research component of the programme.

² Acknowledgement: Documents from the faculties of Natural and Agricultural Sciences and Economic and Management Sciences, as well as a document from the University of Cape Town were used in compiling this document.

ADMINISTRATIVE MATTERS

Candidate supplied with the Code of Research Ethics of the University of Pretoria and agrees to abide by this code. The Code of Research Ethics is available at www.up.ac.za/intranet/registrar/index.html#R. Go to *Research Ethics* and then to *Code of ethics for research*. Please attach the letter of the Research Ethics Committee to this document if applicable.

Yes		No		Signature	
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Candidate supplied with the Plagiarism Policy of the University of Pretoria and agrees to abide by this policy. The Plagiarism Policy Agreement document is attached to this document and must be signed and submitted with this document to the office of the Head: Student Administration within two months after registering for the research component of the programme. Also attached to this document is the Declaration of Originality document which must be submitted with every essay, report, project, assignment, dissertation and/or thesis. The Plagiarism Policy is available at www.up.ac.za/intranet/registrar/index.html#R. Go to Plagiarism

Yes		No		Signature	
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Candidate supplied with the contact details of the Library's relevant information specialist.

Yes		No		Information Specialist:
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Candidate referred to General Regulations G.16 to G.61 of the University of Pretoria pertaining to postgraduate matters and agrees to abide by these regulations.

Yes		No		Signature	
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Specific regulations that must be noted:

G.61.

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Any other administrative matters:

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EXPECTATIONS

Supervisor's expectations:

1. Regular scheduled meetings (at least once every three months) punctually attended by the candidate. Meetings to be scheduled in advance by the candidate. More frequent meetings may be arranged.
2. Candidate to make contact via email (at least once a month).
3. Candidate to provide an indication of the time to be spent on each phase of the research project (time chart). The project should be completed as soon as possible within the minimum time period as allowed by the University. The University's General Regulations regarding the renewal of registration per degree should be consulted in this regard. The time chart could be drawn up with reference to the following:
 - literature review (critical evaluation of existing knowledge)
 - drafting of the research proposal (what the research is intended to accomplish, including a protocol on how the research will be undertaken, ie research design and methods)

The suggested outline for a research proposal is as follows:

- Title/Area
 - Abstract
 - Introduction/Background
 - Research problem
 - Research objective(s)
 - Conceptual framework
 - Previous work – comprehensive and critical appraisal of literature
 - Proposal of new model/technique/idea/approach
 - Suitability of the approach for the level
 - Hypothesis and anticipated results
 - Milestones and timelines for completion
 - Conclusion
 - References
- the actual research, and
 - recording research findings.
 4. Quarterly written reports from the candidate on his/her progress in terms of the indicated time frame/time chart.
 5. Candidate to ensure that all submitted work is written in an acceptable standard of English or Afrikaans. It is not the supervisor's duty to do "*rough editing*" and (s)he will merely concentrate on contents and structure.
 6. Any revisions suggested by the supervisor to be resubmitted by the candidate within one calendar month (along with the copy of the previous manuscript where comments were made by the supervisor).
 7. Any class, workshop or course that the candidate ***must attend as a prerequisite:***

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 8. Candidate has to demonstrate his/her research competence in order to be awarded a degree.
 9. Other expectations:

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10. Comments by candidate on the abovementioned:

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Candidate's expectations:

1. Supervisor to be easily accessible.
2. Clear mediation mechanisms (refer to the General Regulations and Information of the University of Pretoria pertaining to the Student Communication Channel, Section B.15.) to deal with any grievances, personal problems or disagreements that may arise between the candidate and the supervisor.
3. All work submitted to the supervisor to be returned within a reasonable time (maximum turnover of one month), accompanied by written comments on the manuscript as well as separate general comments.
4. Other expectations:

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5. Comments by supervisor on the abovementioned:

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Supervisor's plans and commitments:

1. The supervisor must set out, where applicable, his/her plans for providing supervision in terms of the time chart. The supervisor must indicate any expected absence on leave/sabbaticals (providing alternative arrangements for supervision if away for more than two months in any one year).

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Supervision arrangements:

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Candidate's plans and commitments:

1. The candidate must indicate any matters that may have an impact on the time chart he/she provided (eg work pressure).

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Candidate's undertakings:

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INTELLECTUAL PROPERTY ISSUES

(Refer to the General Regulations and Information of the University, Regulation G.57.6)

Authorship: Authorship should be discussed and agreed upon by all parties concerned. Any additional remarks regarding authorship must be noted by the supervisor*:

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The intellectual property rights of the outcome of the research will be determined by the agreement that the candidate has with the University of Pretoria and which is in line with the policy of the University of Pretoria.

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*in the case that the candidate is employed by an institution other than the University of Pretoria an agreement as to which address is used on the publication needs to be signed. If such an agreement does not exist, the candidate must publish under the name of the University of Pretoria in line with the General Regulations of the University of Pretoria.

DEREGISTRATION

Should a candidate fail to maintain satisfactory academic progress at any phase of his/her period of study, the supervisor may, in consultation with the candidate, send the candidate a warning letter indicating the seriousness of the matter. This letter should also include written instructions on the conditions that need to be met in order to achieve/accomplish satisfactory progress/performance. The candidate will then be placed on probation and be monitored for a period of three months. Should the candidate fail to rectify his/her progress and/or improve his/her performance, he or she will have his/her registration terminated by the Dean on the recommendation of the Postgraduate Committee (General Regulation G.4).

A candidate can appeal the decision to terminate his/her registration. An Appeals Committee would be formed consisting of the Vice-Principal responsible for Research and Postgraduate Studies and two members of the Senate Committee for Research. The two members of the Senate Committee for Research are appointed by the Vice-Principal. The candidate must state his/her case in writing and a written response should be solicited from the supervisor. The Appeals Committee must base its judgement on these written submissions. The decision of the Appeals Committee is final.

Candidate's comments:

.....

.....

.....

SIGNATURE OF THE CANDIDATE

Name	Signed	Date

SIGNATURE OF THE SUPERVISOR

Name	Signed	Date

OBSERVATIONS BY THE HOD

I have reviewed this completed Memorandum of Understanding and I am satisfied that it reflects the shared understanding of the supervisor and the candidate and that the Department is able to meet the obligations to the candidate set out in this Memorandum of Understanding:

Name	Signed	Date

UNIVERSITY OF PRETORIA
PLAGIARISM POLICY AGREEMENT

The University of Pretoria places great emphasis upon integrity and ethical conduct in the preparation of all written work submitted for academic evaluation.

While academic staff teaches you about referencing techniques and how to avoid plagiarism, you too have a responsibility in this regard. If you are at any stage uncertain as to what is required, you should speak to your lecturer before any written work is submitted.

You are guilty of plagiarism if you copy something from another author's work (eg a book, an article or a website) without acknowledging the source and pass it off as your own. In effect you are stealing something that belongs to someone else. This is not only the case when you copy work word-for-word (verbatim), but also when you submit someone else's work in a slightly altered form (paraphrase) or use a line of argument without acknowledging it. You are not allowed to use work previously produced by another student. You are also not allowed to let anybody copy your work with the intention of passing it off as his/her work.

Students who commit plagiarism will not be given any credit for plagiarised work. The matter may also be referred to the Student Disciplinary Committee for a ruling. Plagiarism is regarded as a serious contravention of the University's rules and can lead to expulsion from the University.

The declaration which follows must accompany all written work submitted while you are a student of the University of Pretoria. No written work will be accepted unless the declaration has been completed and attached.

Full names of candidate:

Student number:

Date:

Declaration

1. I understand what plagiarism is and am aware of the University's policy in this regard.

SIGNATURE OF CANDIDATE:

SIGNATURE OF SUPERVISOR:

This document must be signed and submitted to the Head: Student Administration within two months of registering for the research component of the programme.

UNIVERSITY OF PRETORIA

DECLARATION OF ORIGINALITY

**This document must be signed and submitted with every
essay, report, project, assignment, dissertation and/or thesis**

Full names of student:

Student number:

Declaration

1. I understand what plagiarism is and am aware of the University's policy in this regard.
2. I declare that this (eg essay, report, project, assignment, dissertation, thesis, etc) is my own original work. Where other people's work has been used (either from a printed source, Internet or any other source), this has been properly acknowledged and referenced in accordance with departmental requirements.
3. I have not used work previously produced by another student or any other person to hand in as my own.
4. I have not allowed, and will not allow, anyone to copy my work with the intention of passing it off as his or her own work.

SIGNATURE STUDENT:

SIGNATURE SUPERVISOR:



ANNEXURE C

Reference:

RESEARCH ETHICS COMMITTEE

This application form must be read together with the Code of Ethics for Research (Rt 429/99); Committee for Research Ethics and Integrity Policy and Procedures for Responsible Research (S 4083/00 - amended) and the Postgraduate Policy of the Faculty of Education

APPLICATION FOR ETHICS APPROVAL OF CONFIDENTIAL RESEARCH INVOLVING HUMAN RESPONDENTS

APPLICANT DETAILS										
Surname:				Name:				Title:		
Applicant e-mail:					Supervisor e-mail:					
Type of application	PhD	M.Ed	Honours	Class approval	Staff	Student/Personnel number:				
Degree:							Contact number:			
Supervisor:				Co-supervisor:				1 st registered:	YYYY/MM/DD	
Department:	ECE		EMP		EP		HE		SMTE	
QUALIFICATIONS AND EXPERTISE OF THE RESEARCHER										
Please provide information regarding your experience and qualifications in research										
Relevant prior experience:										
Previous academic training:										
Is professional registration required for any part of the research?						Yes		No		
Provide details of registration authority and registration number										
DETAILS OF THE RESEARCH PROJECT										
Title of project										
Research design (Mark with x)	Qualitative			Quantitative		Mixed methods		Other		
Data collection (Mark appropriate boxes with an x)	Questionnaires Survey		Document Analysis		Structured interviews		Semi-structured interviews		Open ended interviews	
	Non-participatory Observation		Participatory Observation		Intervention/ Therapy		Experimental		Other	
RESEARCH CONTEXT AND PARTICIPANTS										
Level of sensitivity/ Intrusiveness (Mark with an x)	HIGH				MEDIUM			LOW		
	(Participation requires intrusive and sensitive information about participants' mental/psychological health and/or their relationship with a person/institution with power over them)				(Participation requires divulging of personal information but is not regarded as sensitive/intimate)			(Participation requires information about policies/ modules/ courses/ institutional processes with a view to analysing, assessing and evaluating them as human artefacts)		
Indicate to which category participants belong	1. Under 18 years (minors)				2. Over 18 years (adults)			3. Orphaned, separated or unaccompanied minors		

POSTGRADUATE RESEARCH POLICY

(Mark all applicable descriptions)	4. Extreme poverty or illiterate		5. HIV/AIDS		6. Mentally compromised or physical limitations				
	7. Limited proficiency in language used to conduct this research								
Primary research setting	1. Pre - school	2. School	3. Higher education		4. Private organisation				
	5. Individual	6. Family	7. Clinic/Mental Health/Hospital		8. Community	9. Other			
FUNDING OF RESEARCH PROJECT									
Please provide details of how you have raised financial support for your project. Also clarify expectations of the funder in terms of the relationship, responsibilities and reporting requirements									
CONTACT DETAILS OF CO-RESEARCHERS									
Please provide a brief bio-statement of each person involved; also indicate their institutional affiliation and status									
STATUS OF RESEARCH PROJECT									
Do you require a blind review of your application? (Staff members only)							Yes	No	
Proposal defended?	Yes	No	N/A	Fieldwork started?	Yes	No	Pilot study/ Fieldwork concluded ³ ?	Yes	No

Signature of applicant

Date

Signature of supervisor (students)

Date

Signature of applicant

Date

Signature of Departmental representative Date

³ <http://web.up.ac.za/default.asp?ipkCategoryID=8045&sub=1&parentid=43&subid=6258&ipklookid=6>



Reference:

PERSONAL DECLARATION OF RESPONSIBILITY

Title of research project:

1. I declare that I am cognisant of the goals of the Research Ethics Committee in the Faculty of Education to:
 - ☐ develop among students and researchers a high standard of ethics and ethical practice in the conceptualisation and conduct of educational research;
 - ☐ cultivate an ethical consciousness among scholars especially in research involving human respondents; and
 - ☐ promote among researchers a respect for the human rights and dignity of human respondents in the research process.
2. I subscribe to the principles of
 - ☐ *voluntary participation* in research, implying that the participants might withdraw from the research at any time.
 - ☐ *informed consent*, meaning that research participants must at all times be fully informed about the research process and purposes, and must give consent to their participation in the research.
 - ☐ *safety in participation*; put differently, that the human respondents should not be placed at risk or harm of any kind e.g., research with young children.
 - ☐ *privacy*, meaning that the *confidentiality* and *anonymity* of human respondents should be protected at all times.
 - ☐ *trust*, which implies that human respondents will not be respondent to any acts of deception or betrayal in the research process or its published outcomes.
3. I understand what plagiarism entails and I am aware of the University's policy in this regard. I undertake not to make use of another person's previous work without acknowledgment or to submit it as my own. I also undertake not to allow anyone to copy my work with the intention of using it as their own work.
4. I understand that the data collected in the course of my research become the property of the University of Pretoria and I undertake to transfer all raw data and documents related to my research for safekeeping as required by the Faculty of Education.

 Applicant

 Signature

 Date

 Supervisor⁴

 Signature

 Date

⁴ Delete if this is a staff application

Reference:

APPLICATION: APPROVAL OF RESEARCH INVOLVING HUMAN RESPONDENTS

Answer all questions honestly in full. The reviewers base their decisions on the information provided on this application form. Incomplete applications cannot be evaluated fairly. Please provide the Ethics committee with a typed application that addresses the following ethical considerations.

1 DESCRIPTION OF THE RESEARCH PROJECT OR ACTIVITY

Please provide a brief summary of the proposed research initiative. Include the main research question(s), rationale for this inquiry as well as its scientific importance. Mention the benefits which are likely to be derived from the project as well as its anticipated duration.

2 RESEARCH DESIGN AND METHODOLOGY

- 2.1 Please provide a full description of the research design, methodology, and processes that will be used. Include details relating to the research sites and data collection protocols.
- 2.2 Should this study involve experimental methods, state whether any treatments will be withheld from some participants and justify this.
- 2.3 Should clinical data form part of the data source in this study, detail the relevant processes for obtaining permission and informed consent to use such data.
- 2.4 If this is intervention research, describe the nature of the intervention and provide details about the scientific merit of the intervention you intend to study.



Please note that you have a responsibility to ensure that you disclose fully the scientific status of the intervention to your participants when you invite them to participate in your research. Participants have the right to know to which degree the procedures and instruments you intend to use are accepted by the scientific community.

3 HUMAN PARTICIPANTS

- 3.1 Describe who will be participating in the study. Mention any other special criteria that may apply to your study.

Role	Vulnerability status	Institutional affiliation	Justification for participation



Please ensure that you attach to this application a draft letter of invitation to participate on a UP letterhead for each group of participants in your study. Make sure that the content of the letter reflect the content of issues outline in this application. The letter of invitation must be signed by the student and supervisor but should not be signed by the participants yet.

- 3.2 Describe your sampling procedure. Include how you will a) recruit b) select and c) ensure voluntary participation. Attach as addenda any draft versions of adverts/letters inviting participation in your project.

- 3.3 Please provide additional information on the criteria that will be used as the basis to include/exclude certain participants.
- 3.4 Outline what activities participants will be expected to participate in as part of this research project. Indicate the duration of each activity as well as where they will take place.
- 3.5 Should any of the participants be known to you in another context (apart from this research), provide details of this relationship and detail how you will handle the conflict of interest.
- 3.6 Should participants be deceived, please describe the nature of any deception and provide a rationale why it must be used in this inquiry. Please note: Deception includes but is not limited to the following: deliberate presentation of false information, suppression of material information, selection of information designed to mislead, selective disclosure of information.
- 3.7 Should you make use of any assistants such as interpreters, photographers, or scribes, please detail their involvement in the study. Include information regarding any orientation/training that such persons will receive prior to commencing their duties



Please note that it is your responsibility to ensure that all assistants and interpreters fully understand and adhere to all ethical requirements of the project. Please attach a personal declaration of responsibility for each assistant who works on the project.

- 3.8 Is there the likelihood of a particular sort of "heinous discovery"? (E.g. child abuse, discovery of illness or condition) If so, how will you deal with such a situation?

4 CONSIDERATION OF ETHICAL PRINCIPLES

VOLUNTARY PARTICIPATION AND TRUST

- 4.1 Describe how you will ensure voluntary participation.
- 4.2 Should any of the participants be captive, state what additional safeguards you will take to ensure voluntary participation.
- 4.3 Should any incentives be used please describe and justify these and outline what measures you will take to still ensure voluntary participation.
- 4.4 Will participants be asked to comment on drafts e.g., transcripts of interviews?
- 4.5 How will participants be informed that they are free to discontinue at any time? Will the nature of the project place any limitations on this freedom? (e.g. documentary film).

INFORMED CONSENT

- 4.6 Please describe how you will obtain informed consent/assent from your participants (or their care givers). Attached a draft consent form or oral consent script as an addendum.
 - Informed consent from adults
 - Informed consent from parents/guardians
 - Informed assent from minors [under the age of 18]
- 4.7 In some cultural traditions, individualised consent as implied above may not be appropriate or additional consent (e.g. group consent or consent from community leaders) may be required. If this is the case with your sample population, indicate the procedures you will follow to obtain consent.

- 4.8 Should some participants in the study be considered to be mentally compromised or otherwise not competent to consent to participation, detail what safeguards you will take to ensure voluntary participation.
- 4.9 Should the research not be conducted in the mother tongue of the participants or in a language in which they feel competent, detail the measures you will take to ensure informed consent and voluntary participation.

SAFETY IN PARTICIPATION

- 4.10 Detail the possible benefits and/or consequences that participants can expect as a result of participating in this study.
- 4.11 Detail the potential risks and harm to participants in this study.
- 4.12 Describe the safeguards you will take to minimise these risks, however minor.
- 4.13 If you indicated that you involve participants from vulnerable and/or vulnerable contexts, detail what extra safeguards you will take to protect the wellbeing of your participants.

PRIVACY, CONFIDENTIALITY AND ANONYMITY

- 4.14 Detail how you will ensure confidentiality and/or anonymity in the sample selection phase of the study.
- 4.15 Should the privacy of participants not be protected in this research, have participants actively agreed to forego confidentiality requirements based on full disclosure of possible intended and unintended consequences and risks? Detail the conditions under which participants decided to forego their privacy rights
- 4.16 Detail practical steps you will take to ensure confidentiality and/or anonymity in the data collection phase of the study.
- 4.17 Detail practical steps you will take to ensure confidentiality and or anonymity in the dissemination phase of the study.

CONFIDENTIALITY OF RESULTS OR FINDINGS

- 4.18 Please mark the box which best describes the level of access you, as the researcher, will have to your participant(s) identity(ies):

	Fully anonymous	Researcher will not be able to identify who participated at all. Demographic information collected will be insufficient to identify individuals.
	Anonymous results, but can identify who participated	The participation of individuals will be tracked (e.g. to provide course credit/chance for a prize etc) but it would be impossible for collected data to be linked to individuals.
	Pseudonym	Data collected will be linked to an individual who will only be identified by a fictitious name/code. The researcher will not know the true identity of the participant.
	Confidential	Researcher will know the true identity of participant, but this identity will not be disclosed.
	Disclosed	Researcher will know and will reveal true identity of participants in results/published material.
	Participant choice	Participant will have the option of choosing which level of disclosure they wish for their true identity.
	Other (please describe)	

ADDITIONAL COMMENTS

4.19 Bearing in mind the ethical guidelines of your academic and /or professional association, please comment on any other ethical concerns which may arise in this research (e.g. responsibility to subjects beyond the purposes of this study).

5 INSTITUTIONAL APPROVAL

5.1 Indicate whether you have received permission to conduct this research from the relevant provincial Department of Education.

	YES	NO	Comments
Province:			
Province:			
Province:			

5.2 If the research is conducted in a country other than South Africa, please detail the relevant legislation pertaining to the requirements for informed consent if these differ from South Africa.



Please note that you must prepare a draft letter in which you request permission to conduct research. It must be addressed to the principal or senior official head of each research site you intend to use. The letter must accompany this application and may only be sent after ethical approval has been granted.

6 DATA DISSEMINATION

Please describe how you intend to share the findings of your research with academia and the broader community (e.g. conferences, articles, seminars, dissertation, reports).

7 DATA ACCESS and STORAGE

7.1 Please describe the access participants will have to the study results and any debriefing information that will be provided to participants post-participation.

7.2 Please describe the audit trail of your data from collection to storage to its eventual archiving or disposal. Include specific details on who will have access, short and long-term storage (format and location), and final destination. For full details please consult the policy documents referred to on page 1.

ACKNOWLEDGMENTS

We have drawn on the example obtained from the Office of Research at Concordia University, Montreal Canada while refining this form.

FOR THE APPLICANT:

- Have you disclosed all relevant information which may reasonably have an impact on the decisions made the Ethics Committee?
- Do you declare that you have not yet engaged with fieldwork in this study?
- Are you aware that it is your responsibility to ensure that all documents relevant to this study, such as letters of permission and informed consent must be retained for safekeeping?
- Are you informed about Faculty and UP and professional regulations of ethical behaviour?
- Have you checked that all the appropriate role-players have signed in the appropriate places?
- Do you undertake to inform research assistants, transcribers and translators (if applicable) of the ethical principles and institutional requirements guiding this research and ensure that they sign the personal declaration of responsibility prior to their involvement in the research?
- Have you included a **protocol letter of invitation to participate** which will provide the conditions of participation and informed consent and handed to the school/organisation/institution and participant/s and signed by the applicant and the supervisor?
- Have you included copies of the data collection protocols, such as questionnaires and/or interview schedules if and when applicable?
- Have you ensured that the process for obtaining informed consent comply with the relevant legal and professional requirements?
- Do you declare that all information provided in this application is true?

Yes	No

.....
APPLICANT'S SIGNATURE

.....
DATE

FOR THE SUPERVISOR (where applicable):

- Have you disclosed all relevant information which may reasonably have an impact on the decisions made by the Ethics Committee about this application?
- Have you informed the student of the relevant Faculty and UP regulations for ethical clearance for research with human respondents?
- Do you declare that the applicant has not yet engaged with the fieldwork in this study?

Yes	No

.....
SUPERVISOR'S SIGNATURE

.....
DATE

If you have feedback about this form, please provide it here:



ANNEXURE D

RECORD OF MASTER'S AND DOCTORAL PROPOSAL DEFENCE

DATE OF DEFENCE:	MASTER'S/DOCTORAL:
STUDENT NAME:	STUDENT NUMBER:
SUPERVISOR NAME:	DEPARTMENT:
PROPOSED TITLE:	
MAJOR COMMENTS MADE ON PROPOSAL	
OUTCOME: (circle) 1=Approved 2=Approved with minor corrections (candidate to make minor revisions to the satisfaction of his/her supervisor) 3=Provisionally approved (candidate to make major revisions to the satisfaction of his/her supervisor and two panel members) 4=Not approved (need to defend again or resubmit to the supervisor, chair of proposal defence and one other academic) 5=Referred to Postgraduate Committee for consideration.	TITLE REGISTERED: Yes: Date registered: No: Date to be submitted
ETHICS APPLICATION Submitted (yes/no) Attached (yes/no) To be submitted (date):	RESEARCH SCHEDULE: Submitted (yes/no) Attached (yes/no) To be submitted (date):
SIGNED BY CHAIRPERSON OF PROPOSAL COMMITTEE	SIGNED BY INDEPENDENT OBSERVER AND COMMENTS
NOTE: Copies of this form must be submitted to <ul style="list-style-type: none"> ○ The Chair of the Faculty Research Ethics Committee ○ The Programme Co-ordinator in the Department ○ The supervisor of the student 	



ANNEXURE E

REGISTRATION OF TITLE OF DISSERTATION/MINI-DISSERTATION/THESIS AND APPROVAL OF EXTERNAL EXAMINERS

REGISTRATION OF TITLE/EXTERNAL EXAMINERS - UNIVERSITY OF PRETORIA

For Office use:

Yes	No
-----	----

Enrolled:

Date letters sent: _____

ESS		
Dept		
%		

PURPOSE (tick appropriate block):	Registration of title	
	Change of title	
	Approval of external examiner(s)	

M-STUDENT		TITLE		EXTERNAL EXAMINERS RECOMMENDED	
Name & surname				1.	2.
Student no				Name	Name
Address				Postal address	Postal address
Tel no					
Fax no				Tel no	Tel no
Email				Fax no	Fax no
Year of first registration				Email	Email
				Cellular	Cellular
				Highest qualification	Highest qualification
FIELD OF STUDY		Application for ethical clearance submitted? YES <input type="checkbox"/> NO <input type="checkbox"/>			
SUPERVISOR		Approved:		3.	
Name		Head of Dept:		Name	
Personnel no		Date:		Postal address	
CO-SUPERVISOR		Dean:			
Name		Date:		Tel no	Tel no
Personnel no				Fax no	Fax no
				Email	Email
		Postgraduate Committee:		Cellular	Cellular
		Date:		Highest qualification	Highest qualification

POSTGRADUATE RESEARCH POLICY

REGISTRATION OF TITLE/EXTERNAL EXAMINERS - UNIVERSITY OF PRETORIA

FACULTY OF EDUCATION
DEPARTMENT:

POSTGRADUATE COMMITTEE

ESS	
Dept	
%	

For Office use:

Enrolled: ☐ Yes ☐ No

Date letters sent: _____

PURPOSE (tick appropriate block):

Registration of title	
Change of title	
Approval of external examiners	

D-STUDENT		TITLE		EXTERNAL EXAMINERS RECOMMENDED	
Name & surname	Student no	Name	Postal address	1.	2.
Address					
Tel no					
Fax no					
Email					
Year of first registration					
FIELD OF STUDY					
Application for ethical clearance submitted? YES <input type="checkbox"/> NO <input type="checkbox"/>					
SUPERVISOR					
Name					
Personnel no					
CO-SUPERVISOR					
Name					
Personnel no					



ANNEXURE F

FACULTY OF EDUCATION

PROGRESS REPORT FORM

DEPARTMENT:					
SUPERVISOR (Surname and initials):					
CO-SUPERVISOR (Surname and initials):					
STUDENT DETAILS:					
SURNAME AND INITIALS:					
STUDENT NUMBER:					
DEGREE ENROLLED FOR:					
YEAR	1	2	3	4	Other (Specify)

PROFILE OF STUDENT

1. Result for fundamental modules (MEd students)				
	1st Opportunity	Supplementary	2nd Opportunity	Supplementary
NME 810				
OOG 810				
2. Successfully defended proposal?				
Yes/No		Date:		
3. Application for ethical clearance submitted?				
Yes/No		Date:		Research Ethics Committee reference number:
4. Title approved? Yes/No Date:				
Title:				
5. Completed chapters				
Chapter 1	Date	Comments		
Chapter 2				
Chapter 3				
Fieldwork				
Data analysis				
Chapter 4				
Draft dissertation				
Final edited				
Ethics clearance certificate obtained				
Dissertation submitted				
Planned submission				

COMMENTS ON PROGRESS:

Satisfactory / Unsatisfactory

.....

.....

RECOMMENDATION:

.....

.....

SUPERVISOR: **DATE:**

CO-SUPERVISOR: **DATE:**

HEAD OF DEPARTMENT: **DATE:**

POSTGRADUATE COMMITTEE: **DATE:**



ANNEXURE G

GUIDELINES FOR SUBMISSION SHORTENED GUIDELINES FOR THE SUBMISSION OF THESES/DISSERTATIONS/MINI-DISSERTATIONS: 2010

1. SUBMISSION DATES GRADUATION CEREMONY

- | | | | | |
|-----|-----------|-----|----------------|-------------------------------------|
| (a) | 31 March | for | September 2010 | (Spring) (Final copies 15 July) |
| (b) | 31 August | for | April 2011 | (Autumn) (Final copies 15 February) |

2. DOCTORAL CANDIDATES: THESIS

2.1 Copies required: Ring bound copies for examining:

One copy each for dean, supervisor and examiners – must be followed up by bound copies (hard cover) to examiners after examination.

Copies for Library (final copies after examination):

One bound paper copy (hard cover) as well as two electronic copies, one in PDF and the other in Word or WordPerfect. Electronic copies may be on CD or diskette, or students can do the submission on the UPeTD web site themselves in which case their documents will receive preferential treatment.

<http://upetd.up.ac.za/authors/publish/standards.htm#specs> for details.

Final copies must reach the Student Administration by the due date indicated in 1. Electronic copies must be accompanied by the prescribed UPeTD form which must be completed by the student as well as the supervisor. Form and UPeTD instructions obtainable from the Student Administration.

2.2 Bound:

- (a) **Title page** in front.

(General Regulation G.58 1.1)

The title page of the thesis should contain the following:

(The full title of the thesis)
by
(Full name of the student)
Submitted in partial fulfilment of the requirements for the degree
in the Faculty of Education, University of Pretoria
(Year and date of submission)

You may add the name of your supervisor and co-supervisor (where applicable) above the year and date of submission.

- (b) **A summary** of not more than 500 words in **English** (in front or at the back) with a list of 10 key words.
(c) **The Ethics Clearance Certificate**, valid for 2 years for MEd and 3 years for PhD.

2.3 Unbound:

- (a) **Title page** in English
(b) An **abstract** in English of not more than 350 words (together with a list of 10 key words).
(c) **Submission form** - signed by supervisor. (Obtainable from the Student Administration).
(d) **R50 administration fee** (payable to the cashier before submission).
(e) A **completed "Abstract" form** (obtainable from Student Administration).
(f) **Curriculum Vitae**, in consultation with supervisor - maximum 170 words. Last paragraph 100 words. Typed in double spacing. Signature of supervisor required. (Example obtainable from Student Administration).

- (g) **Draft article for publication.** Proof of submission of an article to an accredited journal, issued by the journal, as well as the declaration form (obtainable from Student Administration) must be submitted to Student Administration by the due date indicated in 1.

3. MASTER'S DEGREE CANDIDATES

3.1 DISSERTATION

- 3.1.1 **Copies required:** As for doctoral thesis.
- 3.1.2 **Bound:** As for doctoral thesis, but title pages refers to dissertation.
- 3.1.3 **Unbound:**
 - (a) **Submission form** signed by supervisor (obtainable from Student Administration).
 - (b) **R50 administration fee.** (Payable to cashier before submission).
 - (c) **Draft article for publication.** The supervisor / student submits the article for publication, but a hard copy as well as the declaration form (obtainable from Student-administration) must be submitted to Student Administration by the due date indicated in 1.

3.2 MINI-DISSERTATION

- 3.2.1 **Copies required:** As for doctoral thesis.
- 3.2.2 **Bound:**
 - (a) **Title page** in front. As for doctoral thesis, but title page refers to mini-dissertation.
 - (b) **A summary** of 150 - 200 words **in English** (after the table of contents), together with a list of 10 key words.
 - (c) **The Ethics Clearance Certificate**, valid for 2 years.
- 3.2.3 **Unbound:**
 - (a) **Submission form** - signed by supervisor (obtainable from the Student Administration).
 - (b) **R50 administration fee** (payable to the cashier before submission).
 - (c) **Draft article for publication.** Compulsory for all coursework programmes since 2005. The supervisor / student submits the article for publication, but a hard copy as well as the declaration form (obtainable from Student-administration) must be submitted to Student Administration by the due date indicated in 1.

4. TECHNICAL DETAILS

- 4.1 Final copies must be bound in a hard cover with:
 - (a) the title of the thesis/dissertation/mini-dissertation and initials and surname of the candidate on the front cover; and
 - (b) Year, surname and initials on the spine.
- 4.2 Copies must be printed on good quality paper and in letter quality.
- 4.3 A4 or A5 paper size may be used and printing may be done on both sides of the page.

Students should inform the Student Administration, in writing, of their intention to submit the thesis/dissertation/mini-dissertation at least three months prior to submission and are requested to set an appointment at least a week prior to submission. A 'Notification of Submission' form is available from the Student Administration.

For further details consult the General Regulations of the University of Pretoria



ANNEXURE H

GUIDELINES FOR EXAMINERS: MINI-DISSERTATIONS

GENERAL

The MEd degree with course work comprises of a mini-dissertation plus examinations in contrast with a dissertation only.

1. DESCRIPTION OF A MINI-DISSERTATION

A mini-dissertation is more limited in scope than a dissertation and comprises of 50 to 80 typed A4 pages.

A report on an empirical project of limited scope is also acceptable.

A single phase of a problem or phenomenon in Education may be researched and an original contribution to science is not expected.

The normal requirements regarding literary style, presentation, tables, figures, references, bibliography et cetera for dissertations apply to dissertations of limited scope.

A mini-dissertation represents 50% of the final mark for the master's examination.

2. EXAMINER

The name of the external examiner will be kept confidential.

Individual examiners report independently and **are kindly requested not to discuss the mini-dissertation with the candidate or the other examiners.**

The examiner's report should deal with the following aspects:

- (a) defining of the research area and relevance of the theme;
- (b) the candidate's insight of the problem and the goals with the research;
- (c) the candidate's knowledge of relevant literature;
- (d) the candidate's handling of applicable research methods;
- (e) ability of the candidate to evaluate and interpret his findings;
- (f) scientific character of the contents, conclusions and recommendations;
- (g) the language and technical editing of the essay.

3. RECOMMENDATIONS

The examiner should indicate one of the following recommendations:

- (a) that the mini-dissertation be accepted with no required changes in partial fulfilment of the requirements for the degree;
- (b) that the mini-dissertation be accepted in partial fulfilment of the requirements for the degree, but that certain indicated corrections of limited extent should be made to the satisfaction of the head of the department;
- (c) that the mini-dissertation be accepted in partial fulfilment of the requirements for the degree, as soon as the candidate has made major changes to the satisfaction of the examination panel;
- (d) that the mini-dissertation does not meet the required standard, but that the candidate be invited to review the dissertation of limited scope and to resubmit for re-examination;
- (e) that the mini-dissertation be rejected;
- (f) that the candidate should be called for oral questioning by the examination panel prior to finalisation of the result.

4. GENERAL

The examiner may retain the copy of the mini-dissertation, provided that the mini-dissertation is accepted. In case of rejection it must be returned to the University.



ANNEXURE I

GUIDELINES FOR THE EVALUATION OF RESEARCH REPORTS

DOCTORAL THESES/MASTER'S DISSERTATIONS

The Faculty of Education invites examiners of doctoral theses/master's dissertations to compose a comprehensive and detailed qualitative assessment of the student's research report. The evaluative report (qualitative) should address, *inter alia*, the following categories or questions of importance to the Faculty of Education at the University of Pretoria. The categories reflect the newly established vision of the Faculty of Education for enhancing the quality of student and faculty research.

It is critical, for our purposes, that your assessment of a **doctoral thesis** assigns considerable weight to *innovation and the building of new knowledge*.

In the case of a **master's dissertation**, your assessment should be guided by a single, broad evaluation question: *Does the master's candidate demonstrate that he/she is competent to conduct a basic research study?*

1. CLARITY OF FOCUS

Is the problem to be studied clearly articulated? In this regard, are the **research questions** explicit, focused, coherent and "do-able" in the context of the problem statement?

Does the candidate convey a clear sense of what is to be studied? (In the case of statistical or experimental research: are hypotheses and variables clearly identified?)

2. LITERATURE REVIEW

Does the candidate provide critical, evaluative *syntheses of the relevant literature* in ways that inform or extend the subject under study? Is the relevant information or findings from the literature integrated and evaluated in relation to the key research questions? Is the quality of the sampled literature adequate (recent, relevant, research-based etc)?

3. THEORY AND CONCEPTS

Does the candidate use *theoretical approaches or conceptual frameworks* that are relevant, appropriate and illuminative of the problem being studied? ("Theory" in this case can be applied, tested or generated from the data in the study). Do the theories or concepts deployed in the study deepen understanding of the problem being researched?

4. RESEARCH METHODS AND STRATEGIES

Does the candidate apply *research methods or strategies* that are appropriate for the kinds of questions being investigated? Are the research procedures clearly outlined and logically connected to other components (e.g., the theoretical framework) of the research? Is the analysis and interpretation of the research findings consistent with the data?

5. INNOVATION AND CREATIVITY

Does the study at least attempt to introduce creative and novel theoretical and/or methodological approaches to the subject under study? Does the study demonstrate potential for innovation and creativity in educational inquiry?

6. NEW KNOWLEDGE AND INSIGHTS

Does the research project add further insights on the subject under study? Does the study have potential to enrich our understanding of a particular problem? Does this basic research report suggest interesting pathways for further research?

7. TECHNICAL QUALITIES

Is the argument internally coherent? Do the different elements (components) of the study "hold together"? Is the thesis well argued? Is the language usage (including grammar) of a high standard? Have the layout, printing and other technical requirements been met? Is the thesis/dissertation well written as an academic text? Has the student adequately addressed the specific research questions?

8. RECOMMENDATION

The examiner must make one of the following recommendations on the attached examiner's report which should be returned together with the evaluation report:

- that the thesis/dissertation be accepted with no required changes;
- that the thesis/dissertation be accepted, but that certain indicated corrections of limited extent should be made to the satisfaction of the head of the department;
- that the thesis/dissertation be accepted as soon as the candidate has made major changes to the satisfaction of the examination panel;
- that the thesis/dissertation does not meet the required standard, but that the candidate be invited to review the thesis/dissertation and to re-submit for re-examination;
- that the thesis/dissertation be rejected and that the candidate does not pass.
- **MEd STUDENTS:** that the candidate should be called for oral questioning by the examination panel prior to finalisation of the result.

The supervisor of the candidate is allowed to make an extract from the report of the examiner available to the candidate.

The examiner may retain the copy of the thesis/dissertation sent to him/her for examination purposes, provided that the thesis/dissertation is accepted. If the thesis/dissertation is rejected, the examination copy must be returned to the University.

**UNIVERSITEIT VAN PRETORIA / UNIVERSITY OF PRETORIA
FAKULTEIT OPVOEDKUNDE / FACULTY OF EDUCATION
EKSAMINATORSVERSLAG: VERHANDELING/MINIVERHANDELING
EXAMINER'S REPORT: DISSERTATION/MINI-DISSERTATION**

Datum / Date / /

(Drukskrif / Print)

1. Student:
2. Titel van verhandeling/miniverhandeling:
Title of dissertation/mini-dissertation:
3. Leier / Supervisor:
4. Graad / Degree:
5. Eksaminator / Examiner:

AANBEVELINGS DEUR DIE EKSAMINATOR / RECOMMENDATIONS BY THE EXAMINER:

- a) dat die verhandeling/miniverhandeling sonder enige wysigings aanvaar word ter gedeeltelike vervulling van die vereistes vir die graad;
that the dissertation/mini-dissertation be accepted with no required changes in partial fulfillment of the requirements for the degree;
- b) dat die verhandeling/miniverhandeling aanvaar word ter gedeeltelike vervulling van die vereistes vir die graad sodra sekere aangeduide wysigings van beperkte omvang tot bevrediging van die departementshoof aangebring is;
that the dissertation/mini-dissertation be accepted in partial fulfillment of the requirements for the degree, but that certain indicated corrections of limited extent should be made to the satisfaction of the head of the department;
- c) dat die verhandeling/miniverhandeling aannvaar word ter gedeeltelike vervulling van die vereistes vir die graad sodra wesentliche veranderinge tot bevrediging van die eksamenkommissie aangebring is;
that the dissertation/mini-dissertation be accepted in partial fulfillment of the requirements for the degree, as soon as the candidate has made major changes to the satisfaction of the examination panel;
- d) dat die verhandeling/miniverhandeling nie aan die vereiste standaard voldoen nie, maar dat die kandidaat genooi word om dit te hersien en in te dien vir hereksaminering;
that the dissertation/mini-dissertation does not meet the required standard, but that the candidate be invited to review the dissertation/mini-dissertation and to resubmit it for re-examination;
- e) dat die verhandeling/miniverhandeling nie aanvaar word nie;
that the dissertation/mini-dissertation be rejected;
- f) dat die kandidaat eers vir 'n mondelinge ondervraging deur die eksamenkommissie opgeroep word alvorens die uitslag gefinaliseer word.
that the candidate should be called for oral questioning by the examination panel prior to finalisation of the result.

Slaagpunt toegeken / Pass mark awarded

%	75% onderskeiding/distinction 50% slaag / pass
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Handtekening / Signature:

Hoof: Studente-administrasie
Fakulteit Opvoedkunde
Universiteit van Pretoria
PRETORIA
0002

**STUUR SAAM MET U VERSLAG TERUG AAN:
SEND WITH YOUR REPORT BACK TO:**

Head: Student Administration
Faculty of Education
University of Pretoria
PRETORIA
0002

Wil u 'n gebinde kople van hierdie verhandeling/miniverhandeling ontvang? _____

Would you like to receive a bound copy of this dissertation/mini-dissertation? _____

UNIVERSITEIT VAN PRETORIA / UNIVERSITY OF PRETORIA
FAKULTEIT OPVOEDKUNDE / FACULTY OF EDUCATION

EKSAMINATORSVERSLAG: PROEFSKRIF
EXAMINER'S REPORT: THESIS

Datum / Date / /

(Drukskrif / Print)

1. Student:
2. Titel van proefskrif:
Title of thesis:
.....
.....
3. Promotor / Supervisor:
4. Graad / Degree:
5. Eksaminator / Examiner:

Aanbevelings deur die eksaminator / Recommendations by the examiner:

- a) dat die proefskrif **sonder enige wysigings aanvaar** word ter gedeeltelike vervulling van die vereistes vir die graad;
that the thesis be accepted with no required changes in partial fulfillment of the requirements for the degree;
- b) dat die proefskrif aanvaar word ter gedeeltelike vervulling van die vereistes vir die graad sodra sekere aangeduide wysigings van **beperkte omvang tot bevrediging** van die **departementshoof** aangebring is;
that the thesis be accepted in partial fulfillment of the requirements for the degree, but that certain indicated corrections of limited extent should be made to the satisfaction of the head of the department;
- c) dat die proefskrif aanvaar word ter gedeeltelike vervulling van die vereistes vir die graad sodra **wesenlike veranderinge tot bevrediging van die eksamenkommissie** aangebring is;
that the thesis be accepted in partial fulfillment of the requirements for the degree, as soon as the candidate has made major changes to the satisfaction of the examination panel;
- d) dat die proefskrif **nie aan die vereiste standaard voldoen nie, maar dat die kandidaat genooi word om dit te hersien en in te dien vir hereksaminering**;
that the thesis does not meet the required standard, but that the candidate be invited to review the thesis and to resubmit for re-examination;
- e) dat die proefskrif **nie aanvaar word nie** en dat die kandidaat nie slaag nie.
that the thesis be rejected and that the candidate does not pass.

Handtekening / Signature:

Hoof: Studente-administrasie
Fakulteit Opvoedkunde
Universiteit van Pretoria
PRETORIA
0002

STUUR SAAM MET U VERSLAG TERUG AAN:
SEND WITH YOUR REPORT BACK TO:

Head: Student Administration
Faculty of Education
University of Pretoria
PRETORIA
0002

Wil u 'n gebinde kopie van hierdie proefskrif ontvang? _____

Would you like to receive a bound copy of this thesis? _____



ANNEXURE J

Protocol No. _____

PRINCIPAL INVESTIGATOR DECLARATION FOR THE STORAGE OF RESEARCH DATA AND/OR DOCUMENTS

I, the Principal Investigator(s), _____
of the following trial/study titled _____

_____ will be storing all the research data and/or documents referring to the above mentioned
trial/study at the following address: _____

I understand that the storage for the abovementioned data and/or documents must be
maintained for a minimum of 15 years from the commencement of this trial/study.

START DATE OF TRIAL/STUDY: _____

END DATE OF TRIAL/STUDY: _____

YEAR UNTIL DATA WILL BE STORED: _____

Name _____

Signature _____

Date _____



Protocol No. _____

SUPERVISOR DECLARATION FOR THE STORAGE OF RESEARCH DATA AND/OR DOCUMENTS

I, the Supervisor, _____
 for the following student(s) _____
 of the following trial/study titled _____

will be storing all the research data and/or documents referring to the above mentioned
 trial/study at the following address: _____

**I understand that the storage for the abovementioned data and/or documents must be
 maintained for a minimum of 15 years from the commencement of this study.**

START DATE OF TRIAL/STUDY: _____

END DATE OF TRIAL/STUDY: _____

YEAR UNTIL DATA WILL BE STORED: _____

Name of Supervisor	Signature	Date

Name of Student(s)	Signature	Date