**Postgraduate Supervision and Submission**

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| **To be read in conjunction with:** | Postgraduate Supervision and Submission of Research Outputs Policy | | |
| **Approval Date** | 01 Jun 2020 | **Approved by** | Chief Executive |
| **Next Review** | 30 Nov 2022 | **Responsibility** | Deputy Chief Executive: Academic Delivery |

In relation to policy *Postgraduate Supervision and Submission* the following guidelines and processes are indicative of best practice. However, **specific information contained in the relevant postgraduate approved programme document should prevail.**

PROCEDURE

# **Responsibilities and Expectations**

## **Supervisors’ (including Mentors’)**

* 1. Primary supervisors should be appointed from the College offering the qualification. They are responsible for overseeing learner progress in the research from the time that they are appointed as supervisors to the point at which the learner submits the final research output. In the case of work-based learning programmes, the Academic Mentor will take the role of the primary supervisor and the role of secondary supervisor will be taken by either an Academic Mentor or Professional Mentor or both.
  2. Secondary supervisors should be chosen based on their specific knowledge or expertise and should also be able to broaden the advice and guidance received by the learner. Secondary supervisors should also be prepared to act as primary supervisors when primary supervisors are unable to perform this task. Additional secondary supervisors may be co‑opted where necessary.
  3. The Role of the Supervisor is:

1. To provide guidance about the nature of research and the standard expected, advice and mentoring in the field of research or work-based inquiry undertaken by the learner and to arrange the practical support necessary for the realisation of the research project or work-based inquiry.
2. To draw the learner’s attention to all relevant Otago Polytechnic Limited (Ltd’s) policies including but not limited to, those on the conduct of research, ethical requirements, safe work practices, intellectual property, copyright requirements and authorship.
3. To assist in the definition of the aims and objectives of the examinable components of the research or work-based inquiry and to advise on methodological, conceptual, and procedural matters relating to their production.
4. To discuss the appropriate format, layout and style for the required output and provide advice on preparing a timetable for preparation of the output.
5. To arrange regular meetings with the learner to discuss progress. It is the supervisor’s responsibility to ensure that there is good communication between the learner and supervisor whether the learner is working on or off campus within a workplace.
6. To arrange group meetings between a learner and all their supervisors or advisors or mentors at least once per semester, but preferably once a term and to report on such meetings to the Programme Head,
7. To be accessible to the learner at other appropriate times when they may need advice.
8. To ensure that prompt responses are provided to submitted work.
9. To provide six (6) monthly written reports on the learner’s progress to the Programme Head, with a copy to the learner for comment, at the end of each review.
10. To examine course work components of the programme moderated by an internal staff member or external industry partner who has not been involved with the learner’s supervision.
11. To encourage learners to discuss their work with other staff and peers for constructive feedback.
12. To ensure that the learner is made aware, as early as possible, of inadequate progress or standards that fall below that generally expected; and to notify the Programme Head or equivalent.
13. To provide the learner with pastoral care and/or to refer the learner to the appropriate support services, when applicable.
14. To align learner projects with Otago Polytechnic Ltd Strategic Directions where appropriate.
    1. While supervisors have no role in assessing research or work-based inquiry projects that they have supervised, they do, however, have a role in assessing course work components of the programme, including those which are part of the research or work-based inquiry.

## **Qualifications and training of supervisors**

* 1. Primary supervisors will normally have an academic qualification which is equal to, or higher than, the degree in question. However, where it is deemed appropriate, significant experience in the specific research field or, as in the work-based inquiry case, significant experience in mentoring and/or facilitating work-based learning projects may qualify staff to act as primary supervisors.
  2. All primary supervisors (or, in the case of work-based inquiry, the Academic Mentor) must be provided with adequate training to undertake effective supervision.
  3. Knowledge and skill set of supervisory teams should integrate current theoretical knowledge of the discipline or area of research or work-based inquiry with:

1. Relevant practical experience within the field of research or work-based inquiry
2. Research methodology skills or skills in work-based inquiry methods
3. Meta-cognitive skills for high-level problem solving and wider contextualisation of research projects or work-based inquiry
4. Ability to communicate clearly and to listen to learners
5. Writing and analytical skills
6. Project management skills
7. Mentoring ability and constructive feedback skills
8. Pastoral care sensitivity and awareness of Otago Polytechnic Ltd’s learner support services.

## **Learners**

* 1. It is expected that the postgraduate learner will:

1. Adhere to all Otago Polytechnic Ltd regulations, policies and guidelines, particularly with respect to the conduct of research or work-based inquiry (including academic integrity, requirements for ethics approval and copyright) and health and safety in the workplace (including research or work-based inquiry undertaken outside the Polytechnic e.g. fieldwork);
2. Maintain clear and open communication with all supervisors and mentors
3. Take the initiative in raising problems or difficulties, including difficulties with accessing sources or resources
4. Discuss with the supervisor/s the type of guidance and comments that are most helpful, and agree on a schedule of meetings
5. Maintain contact as agreed with supervisor/s and attend all arranged meetings with the supervisor/s fully prepared
6. Give serious attention to the guidance and constructive feedback given by the supervisor/s and negotiate between constructive feedback from the primary supervisor, secondary supervisor and other mentors should it differ
7. Take responsibility for their learning and show initiative and self-motivation in their research or work-based inquiry as part of developing their intellectual independence
8. Maintain the progress of the work in accordance with the timetabled stages agreed with the supervisor/s, including completing and presenting written material as required in sufficient time to allow for comments and discussion before proceeding to the next stage
9. Alert the supervisor/s to any issues arising that might impact on their ability to progress with the research or work-based inquiry
10. Decide when to submit the thesis, dissertations, artistic works, and professional practice projects and/or reports, taking due account of the supervisor’s opinion, and ensuring that Otago Polytechnic Ltd deadlines are complied with.

## **Problems or disagreements between learners and supervisors**

* 1. Where problems, issues or disagreements occur between learners and supervisors, the learner should approach the supervisor concerned in the first instance.
  2. If the learner is genuinely uncomfortable with this, or if the supervisor is unavailable, the learner can approach the responsible Programme Head who will review the situation with both parties.
     1. At this point, the Head of College will be informed of the issue or disagreement by the responsible Programme Head.
  3. If the problems or disagreements are not resolved at this stage, then the Head of College may appoint a new supervisor or co-supervisor.
  4. If the problem or disagreement is still not resolved, then refer to policy **Resolution of Learner Complaints.**

## **Supervision meetings, reporting and record keeping**

* 1. The frequency of supervision meetings may vary depending upon learners, supervisors, College and whether programmes are on-campus, distance or work-based. However, these should be held frequently enough to ensure that good dialogue and research progress are maintained (refer to point 3f).
  2. Regular evaluation of learner feedback should be sought and acted upon within 14 days.
  3. It is required that supervisors keep a record (written notes, e-mail messages, etc.) of the supervision process including dates of meetings, both as a record of what has occurred and as a means of easily preparing the six (6) monthly report.
  4. Supervisors and learners are required to produce a six (6) monthly report, which details progress, and which highlights any concerns in relation to the research process.
  5. These reports should be received by the responsible school Programme Head and a summary passed on to the Head of College for noting on an annual basis.
  6. For audit purposes these are retained for one (1) year after completion of the qualification.
  7. Opportunity for constructive feedback on the supervision process should be provided to learners throughout the process and by completing an exit questionnaire after completion of the qualification.

# **Presentation and Submission of Research Output**

For assistance with this process please consult your Supervisor and/or Programme and refer to specific information in the relevant approved programme document.

## **Presentation and Submission**

1. Learners must submit an electronic version and the required number of printed copies of the thesis / dissertation in interim binding to the designated person as outlined in the approved programme document.
   * 1. Candidates will be issued with a receipt.
2. Following marking and amendments as necessary, two (2) or three (3) final copies in permanent binding will be submitted to the person designated in the approved programme document.
   1. The approved programme document information will specify and provide guidelines for:
3. Content, order of content, title page, referencing, font, spacing, pagination, margins, and binding of interim and final written research or work-based inquiry outputs
4. Presentation of non-text materials
5. Number of copies.
   1. Final permanent bound copies must be received prior to the awarding of the qualification.
   2. Production of all copies of research or work-based inquiry outputs, including costs, shall be the learner’s responsibility.
   3. Learners are entitled to use scholarship or other funding applications to support the cost of production.
   4. It is required that an electronic abstract and thesis/dissertation is provided to the Robertson Library and to the Otago Polytechnic Ltd online repository (OPRES).
   5. Electronic abstracts are searchable by keyword and by Google Scholar. It is therefore important that abstracts are of the highest quality as keywords will be used to facilitate global access to the quality research undertaken by Otago Polytechnic Ltd learners and staff.

## **Declarations**

* 1. Research or work-based inquiry outputs including and but not limited to, theses, dissertations, and professional practice projects and/or reports shall be submitted accompanied by a declaration signed by the learner declaring the following:

1. Learner’s declaration claiming the work as their own
2. Permission to reproduce copies and publish to Otago Polytechnic’s online repository (OPRES)
3. Learner declaration giving the Robertson Library permission to provide access to thesis or dissertation and professional practice projects and/or reports for research and study purposes

**See Declaration Forms**

# **Final Assessment Process**

# Final assessment is the role of internal and external examiners/work-based learning assessors who have been recommended by the supervisor/s and appointed by the Programme Leader or equivalent.

## **Signoff of submission**

* 1. It is preferred that learners and supervisors sign off all examinable submissions using programme specific formats.
  2. Where learners choose to sign off without their supervisor(s) also signing off, they should be made aware they do this at their own risk. They do this in conjunction with the Programme Head who ensures that all programme specific relevant information is available and adhered to.
  3. Once a submission has been signed off by a learner for examination, it is the final submission.

## **Composition of Examination Panel and Appointment of Examiners**

* 1. The Head of College will appoint the internal and external examiners where these are required unless the Head of College is involved in the supervision process, in which case the Programme Head will appoint the examiners.
  2. L earners, supervisors and examiners should be provided with details of the composition of the examination panel and the process through which the panel is constituted and moderated.
  3. Learners and supervisors are to be given the opportunity to provide input concerning the choice of examiners but are expected to refrain from further contact with the potential examiners until after the examination reports have been received and moderated.
  4. Programme Leaders or their equivalent, in consultation with Heads of College/Department, formalise the examination panel; the examination process including timelines; receive the examination reports; and formalise the moderation process (if applicable).
  5. Examination in Te Reo Māori will comply with the assessment regulations in the approved programme document and Otago Polytechnic Ltd policies.
  6. Learners, supervisors, and examiners must be provided with the approved programme specific criteria, programme specific outcomes and moderation procedures.
  7. Examiners may complete a programme specific waiver of confidentiality form agreeing that their written report can be shared with the Learner, supervisor, and Head of College/Department/Service Area.

## **Reporting of Results**

* 1. Examination reports are received by the Programme Head the outcome is then determined and the moderation process (if applicable) carried out.
  2. Copies of the final examination report will be shared with:
     1. The learner
     2. The supervisors
     3. Head of College

and will be kept confidential.

* 1. Any appeal must be lodged by the learner in writing with the Head of College within seven (7) working days of receiving examination report.
  2. Once all requirements are completed by the learner in satisfaction of the approved programme document, the Head of College shall refer the learner for graduation.

**Appendix 1 **

**Otago Polytechnic Limited**

**DECLARATION CONCERNING DISSERTATION**

**and**

**EXHIBITION PRESENTED FOR THE DEGREE OF**

**MASTER OF**

………………………………………………………………………………………………………….

I, (full name)

……………………………………………………………………………………………………………

Learner ID Number

……………………………………………………………………………………………………………

of (address)

……………………………………………………………………………………………………………

Solemnly and sincerely declare, in relation to the dissertation and exhibition entitled:

……………………………………………………………………………………………………………

1. That work was done by me, personally

and

1. The material has not previously been accepted in whole, or in part, for any other degree or diploma.

Signature: …………………………………………………………………………………………

Date: …………………………………………………………………………………………………

**Appendix 2**

**The Robertson Library**

**Candidate Declaration Concerning Dissertation**

Author’s full name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Title of Dissertation: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

College: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Year of submission: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

I agree that this Dissertation may be consulted for research and study purposes and that reasonable

quotation may be made from it, provided that proper acknowledgment of its use is made.

I consent to this Dissertation being copied for the purpose of private study or research as set out in

Section 56 of the Copyright Act 1994.

The Robertson Library will stamp the following declaration on any copy: *This copy is made for your*

*private study or research. The Copyright Act 1994 prohibits the sale, letting for hire or copying of this*

*copy.*

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Note: This is the standard library declaration form used by The Robertson Library for all theses.

The form is designed to protect the dissertation work of the author by requiring proper

acknowledgment of any quotations from it.



**Appendix 3**

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**Permission to Reproduce Copies from Original Copy**

**of Thesis/Dissertation**

**I \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (insert name) agree to the**

**following use being made of the original copy of my Thesis/Dissertation which is in the College of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ at Otago Polytechnic Limited.**

Thesis/Dissertation/Project Title

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Please tick the statements to which you consent.

□ A further two (2) softbound copies being made for use by students and staff in the College of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ at Otago Polytechnic Limited.

□ Replacement softbound copies, for use by learners and staff in the College of at Otago Polytechnic Limited, if either of the original two (2) softbound copies are damaged.

□ One (1) softbound copy per individual made for personal use by staff or student in the College of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ at Otago Polytechnic Limited. The copy will be made at cost price to the individual, on request to the College.

□ One (1) softbound copy per individual made for personal use by any person external to the College of at Otago Polytechnic Limited. The copy will be made at cost price to the individual, on request to the College.

□ Electronic Abstract for database of published Thesis/Dissertations.

□ Full electronic copy of Thesis/Dissertation for reference use.

Signed \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Appendix 4**

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Title

Author

A dissertation submitted in partial fulfillment of the degree of (name the degree) at the College of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_at Otago Polytechnic Limited, Dunedin, New Zealand.

Submission date (insert here)