



PROCEDURE NUMBER	PDIIIE007	
PROCEDURE NAME	Research and Postgraduate Studies Process and Procedure	
PROCEDURE NUMBER	02	
LEGEND	IIE007 Process and Procedures removed from v11 of IIE007 on 03/09/2020 and PDIIIE007 created	
PROCEDURE APPROVAL	Date of Approval	Date of Implementation
	03 September 2020	January 2021
DATES AMENDED	04 November 2021	01 January 2022
DATE FOR NEXT REVIEW	2022	
PROCEDURE ANNEXURES	Annexure A: Notice of Submission of Mini-Dissertation, Dissertation or Thesis Annexure B: Certificate of Release for Proposal Annexure C: Certificate of Release for Mini-Dissertation, Dissertation or Thesis Annexure D: Acknowledgement of Changes to Mini-Dissertation, Dissertation or Thesis Annexure E1: Research Request Form Annexure F: Progress Report by Supervisor on Higher Degree Annexure G: Progress Report by Candidate on Higher Degree Annexure H: Supervisor Ratios Annexure I: Memorandum of Understanding Annexure J: Consent Form Template Annexure K: Consent Form for Audio or Video Recording	

Contents

Glossary	3
1 Introduction.....	6
2 Process Flow for NQF level 8.....	6
3 Process Flow for NQF Level 9.....	6
4 Research Requests for Non-Qualification Purposes.....	8
5 Annexures	8
Annexure A – Notice of Submission of Mini-Dissertation, Dissertation or Thesis.....	10
Annexure B – Certificate of Release for Proposal	12
Annexure C – Certificate of Release for Mini-Dissertation, Dissertation or Thesis.....	13
Annexure D – Acknowledgement of Changes to Mini-Dissertation, Dissertation or Thesis..	14
Annexure E (a) – Research Request Form (IIE007).....	15
Annexure E (b) – Research Request Form (IIE007).....	19
Annexure F – Progress Report by Supervisor on Higher Degree	23
Annexure G – Progress Report by Candidate on Higher Degree	26
Annexure H – Supervision Ratios.....	28
Annexure I – Memorandum of Understanding.....	29
Annexure J: Consent Form Template.....	35
Annexure K: Consent Form for Audio or Video Recording	37

Glossary

These are role descriptions and not necessarily job titles. One or more roles could be held by the same person if the role so allows. Some of these roles relate to only postgraduate studies whereas others are more general.

Academic Article	Normally a primary or secondary research-based article prepared to the standard for submission for publication in terms of the specifications of the academic journal concerned.
CAT	The Central Academic Team of The IIE.
CAT Research Administrator	The IIE CAT Administrator reporting to the Dean and Assistant Dean Research and Postgraduate Studies.
Campus Research Administrator	The administrator on the campus responsible for administrative tasks in terms of this policy.
Campus Postgraduate Coordinator	Postgraduate programmes on the campus have at least one coordinator who may be responsible for more than one postgraduate programme in cognate disciplines. There may thus be one Campus Postgraduate Coordinator per faculty or school or other logical grouping.
Campus Research Coordinator	The Campus Research Coordinator is responsible for research by the academic team, and for research done on the campus by anyone other than a postgraduate student. This person may also be the postgraduate coordinator for one or more clusters. Each campus, irrespective of whether postgraduate programmes are offered on the campus, should have a person who has this role specifically designated to them.
Co-Supervisor	An academic involved in the supervision of a research project, mini-dissertation, dissertation or thesis working in cooperation with a supervisor either as part of his or her own training or because of his or her own expertise in the discipline or a methodology.
Dean: Academic Development and Support	The IIE Academic Head responsible for all undergraduate qualifications and teaching and learning.
Dean/Deputy Dean: Research and Postgraduate Studies	The IIE Head responsible for research and postgraduate studies. The Assistant Dean supports this function.
Dissertation	The output from a Master's Degree by research.
Ethics Committee	The committee responsible for institutional research ethics; a subcommittee of the Research and Postgraduate Studies Committee.
Experienced Researcher	A researcher who has supervised and successfully delivered a number of postgraduate students at the level appropriate for his or her qualification.
External Examiner	An academic, not in the employ of The IIE, who assesses the research output of either a research project, mini-dissertation, dissertation or thesis.
Head of Faculty (HoF)	The senior academic of a faculty – normally, but not necessarily ¹ , working in the CAT.

¹ S51: 2019-07-11 Item 7.2.3

Internal Examiner	An academic of The IIE who assesses the research output. A supervisor or a co-supervisor of the report being assessed is not allowed to fulfil this role.
Mini-Dissertation	Research document in partial fulfilment of a Master's by coursework.
Research Manager	A research manager supports a Brand or a region or CAT. The role includes research coordination which includes responsibility for annual reporting to the Research and Postgraduate Studies and Ethics committees. The role also includes ensuring that campus research coordinators keep the Research Activity Tracking System and the Research Incentive Tracking System up to date. The Research Manager manages the ethics clearance applications for the sites that they coordinate where these are not handled at campus level.
Programme and Postgraduate Coordinator	Each qualification has an academic head and a person in each Brand that is responsible for Brand compliance in terms of ethics clearance, examination, tracking systems, and application for consent and approvals thereof. This may be either at national, regional or campus level. The academic and the administrative components may be managed by a single person or by more than one. These roles may be assumed by Heads of Programme (HoPs), Programme Navigators (PNs) and Programme Coordinators, among others. This also means that there may be multiple programme and postgraduate coordinators for a single programme, depending on Brand operations.
Non-Assessing Chair (NAC)	An academic appointed by the Programme Coordinator, in consultation with the Dean: Research and Postgraduate Studies or the Assistant Dean: Research and Postgraduate Studies, to facilitate the examination of a Master's dissertation or Doctoral thesis.
Pod	A group of students supervised as a collective – normally at Honour's level.
Proposal Defence Panel	A panel, comprising at least three members, constituted by the programme coordinator to consider the proposal defence of Master's and Doctoral candidates. One member of this panel must be a standing member of the Ethics Committee.
Proposal Defence	The process of presenting a proposal at Master's and Doctoral level to a committee in order to gain approval and ethics clearance.
Proposal Workshop	The SLP that must be completed by Master's and Doctoral students prior to their registration which culminates in the Proposal Defence.
Research and Postgraduate Studies Committee	Institutional Governance committee responsible for this policy and for institutional research.
Research Project	The research project undertaken by a Postgraduate Diploma or Honours student which results in either a research report or an academic article or both.
Research report	A report on a research project that is not a mini-dissertation or a dissertation. Normally the output of an Honours Degree or Postgraduate Diploma research project.
Short Learning Programme (SLP)	A non-credit bearing learning programme, usually very specific in scope, that prepares a student for a particular undertaking.

Supervisor	An academic responsible for supervising the research done by a student that will normally result in a research report, academic article, mini-dissertation or a dissertation.
Thesis	The output of a Doctoral Degree.
Viva Voce	After external examination and final submission, Doctoral students are required to defend their thesis to a panel of experts in an oral examination.

1 Introduction

- (1) The purpose of this document is to guide the navigation of the administrative and research-related processes for qualifications on NQF levels 8, 9 and 10 as well as for RPL and external research requests for non-IIIE qualifications. This document is an extension of, and therefore subject to the IIE007 Research and Postgraduate Studies Policy.

2 Process Flow for NQF level 8

- (1) Students submit their proposals, which include the ethics clearance section, to their supervisor, who sends it to the Campus Research Coordinator.
- (2) The Campus Research Coordinator convenes an ethics clearance meeting with all supervisors on that campus for that qualification.
- (3) Decisions of the meeting are recorded in ethics clearance letters, which are uploaded to the student administration management system and the Postgraduate Research Tracking System (PRTS) along with a copy of the proposal and any other relevant documentation.
- (4) The Research Administrator to whom the PRTS item is assigned ensures that a summary served at the Research and Postgraduate Studies Committee.
- (5) The Programme Coordinator for the qualification (nationally) audits the applications and works with sites to address concerns and errors.

3 Process Flow for NQF Level 9

- (1) All candidates who wish to register for a Master's degree must first complete the Proposal Writing SLP which culminates in the approval of a Research Proposal. Applicants are only eligible for access to this short learning programme (SLP) on the Master's degree if they are eligible for registration on the Master's as per IIE007 admission criteria.
- (2) Applicants will apply to do a Master's provisionally and register when the requirements of this SLP are met.
- (3) Applicants who have not completed significant modules, or a qualification in the particular discipline underpinning the Master's, may be required to complete an SLP in the discipline in addition to the Proposal Writing SLP.
- (4) Applications are directed to the senior academic coordinating the Master's programme.

- (5) The National Postgraduate Programme Coordinator of the programme will screen the application with the support and input of at least two other senior academics, one of which will be qualified to supervise in the area under consideration.
- (6) An application form must be accompanied by the Curriculum Vitae (CV) of the candidate, as well as a complete academic transcript of previous studies.
- (7) Where necessary, this process may involve a formal RPL application. The process is described in the Credit Accumulation and Transfer, Recognition of Prior Learning and Qualification Completion Policy (IIE010).
- (8) Even if an applicant meets the minimum entry requirements to enrol for the relevant SLP that will make him or her eligible to register for a Master's degree, registration may be refused if:
 - a) an appropriate and suitably qualified supervisor cannot be identified; or
 - b) the interdisciplinary nature of the proposed research falls outside of the scope of the accredited qualification.
- (9) If admission to the Master's degree is refused, the applicant has the right to request for a reason in writing and may appeal to the Research and Postgraduate Studies Committee in writing.
- (10) When the Research and Postgraduate Studies Committee upholds the refusal, the decision is final.
- (11) The candidate may reapply in the following academic year if he or she is able to address the issues raised and The IIE may invite the candidate to reapply if a suitable supervisor is employed.
- (12) The Student enrolls for the SLP that is designed to assist with the research design and proposal.
- (13) The supervisor submits the proposal and Annexure A (Notice of Submission) to the Campus Research Coordinator. A similar process to the one followed for NQF 8 is followed, except that final approval is not given and the letter that is uploaded is permission to take the matter further to the Proposal Defence Panel or to submit to the Ethics Committee.
- (14) The Campus Research Coordinator uploads the proposal and annexures as attachments onto the PRTS and assigns the item to the National Postgraduate Coordinator, Brand Postgraduate Coordinator and the Programme Coordinator.
- (15) The NPPC sets up the panel for proposal approval and emails the proposals to the panel members for consideration before the meeting. Panel members need to receive the proposal a minimum of 10 working days before the meeting.

- (16) Proposals and all relevant annexures are uploaded by the NPCC and work flowed to the Research Administrator and National Research Ethics Coordinator at The IIE CAT indicating whether the proposal was approved or not approved.

4 Research Requests for Non-Qualification Purposes

- (1) Research may not be conducted without this permission. See Annexure E – Research Request Form which is to be submitted to the Dean: Research and Postgraduate Studies.
- (2) The IIE Research Administrator prepares the Research Ethics Clearance Letter, which is then uploaded onto PRTS and work-flowed to the BPC, who sends it to the relevant Campus Research Coordinator.
- (3) The Campus Research Coordinator is responsible for downloading the letter from PRTS, sending it to the supervisor via email, and uploading a copy of the letter on the Student Administration Management system.
- (4) It remains the responsibility of the supervisor to ensure that research is not conducted until the Ethics Clearance letter has been uploaded on the Student Administration Management system.

5 Annexures

- (1) The annexures listed below can all be found in this document, in the order that they appear in this list. The specific points in IIE007 that refer to the use of these annexures are listed below each annexure heading in this list.
- a) Annexure A – Notice of Submission of Mini-Dissertation, Dissertation or Thesis
- (i) 9.10
 - (ii) 9.13
 - (iii) 10.13
 - (iv) 11.10
- b) Annexure B – Certificate of Release for Proposal
- (i) 9.7
 - (ii) 10.8
 - (iii) 11.7
- c) Annexure C – Certificate of Release for Mini-Dissertation, Dissertation or Thesis
- (i) 9.10(3)
 - (ii) 9.10(6)
 - (iii) 9.11(9)
 - (iv) 9.13(3)
 - (v) 10.13(3)
 - (vi) 11.10(3)
 - (vii) 11.10(10)
 - (viii) 11.11(9)
 - (ix) 11.13(3)

- d) Annexure D – Acknowledgement of Changes to Mini-Dissertation, Dissertation or Thesis
 - (i) 9.9(1)
 - (ii) 9.11(7)
 - (iii) 9.11(8)
 - (iv) 9.12(2)
 - (v) 9.13(3)
 - (vi) 10.11(8)
 - (vii) 10.11(9)
 - (viii) 10.12(2)
 - (ix) 10.13(3)
 - (x) 11.9(1)
 - (xi) 11.11(7)
 - (xii) 11.11(8)
 - (xiii) 11.12(2)
 - e) Annexure E – Research Request Form
 - (i) 4.7.3(4)
 - f) Annexure F – Progress Report by Supervisor on Higher Degree Candidate
 - (i) 9.5.2(4)
 - (ii) 11.5.2(4)
 - g) Annexure G – Progress Report by Candidate on Higher Degree Candidate
 - (i) 9.5.2(5)
 - (ii) 11.5.2(5)
 - h) Annexure H – Supervision Ratios
 - (i) 9.5.3(1)
 - (ii) 10.5.3(1)
 - (iii) 11.5.3(1)
 - i) Annexure I – Memorandum of Understanding
 - (i) 9.5.2(2)
 - (ii) 9.5.2(4)
 - (iii) 9.8(2)
 - (iv) 10.5.2(1)
 - (v) 10.5.2(3)
 - (vi) 10.5.2(6)
 - (vii) 10.6(2)
 - (viii) 11.5.2(2)
 - (ix) 11.5.2(4)
 - (x) 11.5.2(7)
 - (xi) 11.8(2)
- (2) All annexures found in this document are also available in fillable PDF format from the IIE Intranet: PostGrad Team - Postgrad Information Centre.
- (3) The contents of the annexures in fillable-PDF format and the annexures found in this document are the same. In cases where the fillable PDF annexures do not allow for simple management of the annexure submission process, the contents of the annexure in question must be extracted from this process document as is.



Annexure A – Notice of Submission of Mini-Dissertation, Dissertation or Thesis

Student details	
First name(s):	
Last name:	
Address:	
	Code:
Contact details:	
Cell:	
Email:	
Student number:	
Degree registered for:	
Title of research:	
Intended submission date:	
Signature of student	Date
Supervisor and co-supervisor details	
Supervisor first name:	
Supervisor last name	
Co-supervisor first name:	
Co-supervisor last name:	
<p>I, the supervisor, who is named above, of the student also named above, hereby confirm that:</p> <ul style="list-style-type: none"> the student has complied with the minimum duration of study; the student will most likely be ready to submit by abovementioned date; and the registered title mentioned above is correct and that the Non-Assessing chair, as well as the external examiners, can be appointed. 	
Signature of supervisor	Date
NOTE:	

Notice must be given to The IIE Research and Postgraduate Studies Committee four months prior to submission. You will receive a letter confirming receipt of notice of submission. The title as registered as well as the number of copies to be submitted for examination will be stated. Should you fail to submit as you intended to do, you will have to give notice four months prior to the next submission date.



Annexure B – Certificate of Release for Proposal

Proposal review and ethics clearance

Candidates submitting a Master's Proposal should complete Part 1 of this form and then send an electronic copy to the supervisor.	
PART 1 Candidate	
Candidate first name:	
Candidate second name:	
Student number:	
Degree enrolled for:	
I confirm that my proposal has been prepared in accordance with the guidelines of The Independent Institute of Education on the submission of a Master's proposal.	
Signature of candidate	Date
PART 2 Supervisor	
Supervisor first name:	
Supervisor last name:	
I confirm that the Candidate's proposal has been prepared in accordance with the guidelines of The Independent Institute of Education on the submission of a Master's proposal.	
Signature of supervisor	Date



Annexure C – Certificate of Release for Mini-Dissertation, Dissertation or Thesis
Examination of the outputs for NQF levels 9 and 10

NOTE:	
Candidates submitting a Master's Dissertation should complete Part 1 of this form and then send an electronic copy to their supervisor. Additionally, candidates resubmitting their dissertation for re-examination are required to provide a copy of a memo written by the student detailing how the revisions required by the examiners have been addressed.	
PART 1 Candidate	
First name:	
Last name:	
Student number:	
Degree:	
I confirm that my dissertation has been prepared in accordance with the guidelines of The Independent Institute of Education on the submission of a Master's research dissertation.	
Signature of candidate	Date
PART 2 Supervisor	
First name:	
Last name:	
I confirm that the Candidate's dissertation has been prepared in accordance with the guidelines of The Independent Institute of Education on the submission of a Master's research dissertation.	
Signature of supervisor	Date

NOTE: Once the supervisor has determined that the thesis is nearing completion and not later than three months prior to the proposed submission date, the supervisor needs to submit Annexure D (Acknowledgement of Changes) to the National Postgraduate Programme Coordinator (NPPC). The NPPC appoints a non-assessing chair (NAC) to oversee the academic part of the examination process in consultation with the Dean of Postgraduate Studies or Head of Faculty concerned.



Annexure D – Acknowledgement of Changes to Mini-Dissertation, Dissertation or Thesis

Student details	
First name:	
Last name:	
Student number:	
Degree registered for:	
Supervisor:	
Co-supervisor:	
Non-assessing chair:	
Title of research:	
<p>I, the abovementioned supervisor of the abovementioned student, hereby confirm that the student has effected the changes that were required by the external examiners.</p>	
Signature of supervisor	Date
Signature of non-assessing chair	Date



Annexure E (a) – Research Request Form (IIE007)
(non-qualification specific)

The research request form is to be completed by anyone who wants to conduct and publish research under the name of The IIE. The IIE subscribes to the Belmont Report as guideline for ethical research practice. The Belmont report highlights the following three principles *respect for persons*, *beneficence*, and *justice* as critical when considering ethical clearance or consent. Carefully consider your request from an ethics perspective before you submit. The IIE’s Ethics Committee has the right to withhold any research that is not aligned with the institutional policies and best practices of ethical research.

Requirements and process

For this submission applicants are required to submit the following documentation to their respective Brand Research Manager who will upload the documents onto the Research Request Tracker:

- Annexure E (a) – Research Request Form (IIE007)
- Proposal of the study that served at the institutional ethics committee.
- Data collection instrument (for example: questionnaire, or interview Schedule).
- Copy of the consent form to be shared with participants.

About the researcher (corresponding author)													
Title	Prof		Dr		Ms		Mrs		Mr				
First name(s)													
Last name													
SA ID number													
Passport number (if applicable)													
Home address							Postal address						
Click or tap here to enter text.							Tick if same as home address						
							Click or tap here to enter text.						
Code:							Code:						
Telephone number							Cell phone number						
Email													
About the researcher/s (co-authors)													
Title	Prof		Dr		Ms		Mrs		Mr				
First name(s)													
Last name													
Email													
About the researcher/s (co-authors)													
Title	Prof		Dr		Ms		Mrs		Mr				
First name(s)													
Last name													
Email													
About the researcher/s (co-authors)													

Title	Prof		Dr		Ms		Mrs		Mr	
First name(s)										
Last name										
Email										
About the researcher's affiliations										
<i>Institutional or Organisational (Corporate) Affiliation</i>										
<i>If research forms part of a qualification or institutionally sanctioned research project</i>										
Employer										
Physical address										
Contact number										
Researcher's position or designation										
Faculty or area of study										

Purpose of the Research & Output						
Full title of the research output						
Select either one of the following:		Conference Presentation / Conference Proceedings	Industry Research Project	Market Research	Publication in a Scientific Academic Accredited Journal	Publication in an edited book series
Value of the research						
Proposed date of completion						
Proposed submission date of the final research output to The IIE.						

About the methodology					
<i>Indicate by ticking the appropriate block and answering the relevant sections.</i>					
Would you be using IIE staff, students, or artifacts for this research?		Yes	No		
Questionnaire		Interviews		Observations	
Existing		Structured		<i>Number of observations</i>	
Own		Semi-structured		<i>Note what will be observed</i>	
Open-ended		<i>Number of interviews</i>			
<i>Number of respondents</i> ...		Focus group or workshop			
<i>Briefly identify, describe, or explain the questionnaire.</i>		<i>Participants per focus group</i>			
		<i>Number of focus groups</i>			
		<i>Briefly expand on the interview, workshop, or focus group questions.</i>			
List of the student or staff groups, sites or artefacts under study					

Average time participants or respondents will be involved in research activities	
--	--

About the ethics considerations for the research						
Aspects considered.	Informed consent	<input type="checkbox"/>	Anonymity	<input type="checkbox"/>	Confidentiality	<input type="checkbox"/>
	Committed to give feedback on the study	<input type="checkbox"/>	Voluntary participation	<input type="checkbox"/>	Vulnerable group involved	<input type="checkbox"/>
	<i>Elaborate on vulnerable groups</i>		Click or tap here to enter text.			
Documentation submitted with proposal* <i>Select the applicable options</i>	Abstract or detailed research project plan					<input type="checkbox"/>
	Data collection Instrument(s): interview schedule or questionnaire					<input type="checkbox"/>
	Participant or respondent consent form that includes information sheet for participants or respondents					<input type="checkbox"/>
	Audio-visual consent form (if applicable):					<input type="checkbox"/>

Conditions for conducting research on or about students, staff, sites or artefacts of The Independent Institute of Education
<ol style="list-style-type: none"> 1. A copy of the final paper must be submitted electronically to The IIE’s Dean for Research and Postgraduate Studies at research@iie.ac.za as well as the Brand Research Manager no later than 30 days post finalisation. 2. The researcher(s) is not permitted to either refer to The IIE or any of its educational brands or to the name, logo, brand or any other identifiers of The IIE or any of its educational brands in any way, including, but not limited to, in questionnaires, surveys, interviews, proposal or research reports/articles. The IIE or educational brand in question must be referred to in a generic manner, for example, ‘A private higher education institution/provider’. 3. The researcher(s) will need to obtain informed consent in writing from all of the participants in the sample if the study is not anonymous. 4. If the Learning Management System (LMS) of The IIE is used, the researcher(s) is not permitted to refer to it by name. Learn needs to be referred to in a generic manner, for example “the Learning Management System of a private higher education institution/provider.” 5. A copy of this letter must be forwarded to the relevant person(s) at the brand or The IIE that would be involved in the study. 6. Research must be conducted in such a way that the normal programme and operations of the site/ offices is not interrupted. 7. The campus head of a site must be consulted about an appropriate time when the researcher(s) may carry out the research at the site. 8. The researcher(s) may only use this data for these research purposes and in no other way. 9. Should the researcher(s) wish to publish this research or in any way make the results public, for example by publishing the results on a social media platform, this IIE’s Ethics Committee will need to approve a request to this end first. 10. No names or identifying information of participants may be used within the research and the research must be voluntary. 11. Photographs of human subjects may only be taken if relevant to the research and informed consent from the participants or respondents was obtained, and, even with informed consent, the photographs may not be published. 12. The researcher is responsible for supplying and utilising their own research resources, such as stationery, photocopies, transport, and telephones and should not depend on the goodwill of the institutions or the offices visited for supplying such resources. 13. If any of The IIE reports or policies are used as part of the research, all identifying information needs to be removed. 14. Please make it clear that the information will not be used punitively in any way and participants may in no way be counselled or advised based on this.

15. The reference number of the permission letter, if permission is granted, must appear, in one format or another, on all research documentation distributed amongst IIE staff or students.
--

Declaration by the corresponding researcher	
1. I declare that all statements made by myself in this application are true and accurate; and	
2. I accept the conditions associated with the granting of approval to conduct research and undertake to abide by them.	
Signature of the corresponding researcher	Date



Annexure E (b) – Research Request Form (IIE007)
(qualification specific)

The research consent form is to be completed by applicants who are conducting research for the **purpose of studying** towards a degree at either The IIE or another higher education institution. This form is to be completed by candidates who either already obtained **ethics clearance** from the registered institution or requires a **gatekeeper’s letter** from The IIE for ethical clearance approval to consent on the use of The IIE students, staff sites or artefacts for the specific research project. The IIE subscribes to the Belmont Report as guideline for ethical research practice. The Belmont report highlights the following three principles *respect for persons, beneficence, and justice* as critical when considering ethical clearance or consent. Carefully consider your request from an ethics perspective before you submit. The IIE’s Ethics Committee has the right to withhold any research that is not in alignment with the institutional policies and best practices of ethical research.

1. Candidates that are not affiliated to The IIE.

Applicants are required to submit the following documentation:

- Annexure E (b) – Research Consent Form (IIE007)
- Proposal of the study that served at the registered institutions ethics committee.
- Data collection instrument (for example: questionnaire, or interview Schedule).
- Copy of the consent form to be shared with participants.
- The ethics clearance certificate from the institution where you are registered for your studies. Should the institutions ethics committee require a gatekeepers letter from The IIE as part of the ethics application at the registered institution it should be noted as such on the below application.

Submit all documents to research@iie.ac.za.

2. Candidates affiliated to The IIE.

Applicants are required to submit the following documentation:

- Annexure E (b) – Research Consent Form (IIE007)
- Proposal of the study that served at the registered institutions ethics committee.
- Data collection instrument (for example: questionnaire, or interview Schedule).
- Copy of the consent form to be shared with participants.
- The ethics clearance certificate from the institution where you are registered for your studies. Should the institutions ethics committee require a gatekeepers letter from The IIE as part of the ethics application at the registered institution it should be noted as such on the below application.

if you are a staff member of The IIE, kindly share your documentation with the respective brand research manager.

The purpose of this request for research consent is to obtain:	
Gatekeeper’s Letter	
Research Consent	

About the researcher												
Title	Prof		Dr		Ms		Mrs		Mr			
First name(s)												
Last name												
Student number												
SA ID number												
Passport number (if applicable)												
Home address						Postal address						
Click or tap here to enter text.						Tick if same as home address						
						Click or tap here to enter text.						
Code:						Code:						
Telephone number						Cell phone number						
Email												

About the researcher's affiliations												
Institutional affiliation												
Institution enrolled at												
Qualification name												
Discipline of study												
About the supervisor or promoter												
Lead or Main Supervisor/ Promoter												
Title	Prof		Dr		Ms		Mrs		Mr			
First and last names												
Email address												
Co-supervisor / promoter												
Title	Prof		Dr		Ms		Mrs		Mr			
First and last names												
Email address												

About the methodology												
<i>Indicate by ticking the appropriate block and answering the relevant sections.</i>												
Questionnaire				Interviews				Observations				
Existing				Structured				Number of observations				
Own				Semi-structured				Note what will be observed				
Open-ended				Number of interviews								
Number of respondents				Focus group or workshop								
Briefly identify, describe, or explain the questionnaire.				Participants per focus group								
				Number of focus groups								
				Briefly expand on the interview, workshop, or focus group questions.								
List of the student or staff groups, sites or artefacts under study												
Average time participants or respondents will be involved in research activities												

About the ethics considerations for the research					
Aspects considered for ethics consideration.	Informed consent		Anonymity		Confidentiality
	Committed to give feedback on the study		Voluntary participation		Vulnerable group involved
	<i>Elaborate on vulnerable groups</i>		Other (specify):		
Additional Documentation to be submitted for Consent to be considered.	Research Proposal				
	Ethics clearance certificate or letter from institution who approved the research/ study or request for a gatekeeper’s letter to be supplied for ethical clearance process by registered institution.				
	Data collection Instrument(s): interview schedule or questionnaire				
	Participant or respondent consent form that includes information sheet for participants or respondents				
	Audio-visual consent form (if applicable):				
Proposed submission date of the Ethics Clearance Certificate to The IIE.	<i>Completion of the below fields is only required for candidates who requires a gatekeeper’s letter as part of the institutional research ethics application process.</i>				

Conditions for conducting research on or about students, staff, sites or artefacts of The Independent Institute of Education	
16.	A copy of the final paper must be submitted electronically to The IIE’s Dean for Research and Postgraduate Studies at research@iie.ac.za as well as the Brand Research Manager no later than 30 days post finalisation.
17.	The researcher(s) is not permitted to either refer to The IIE or any of its educational brands or to the name, logo, brand or any other identifiers of The IIE or any of its educational brands in any way, including, but not limited to, in questionnaires, surveys, interviews, proposal or research reports/articles. The IIE or educational brand in question must be referred to in a generic manner, for example, ‘A private higher education institution/provider’.
18.	The researcher(s) will need to obtain informed consent in writing from all of the participants in the sample if the study is not anonymous.
19.	If the Learning Management System (LMS) of The IIE is used, the researcher(s) is not permitted to refer to it by name. Learn needs to be referred to in a generic manner, for example “the Learning Management System of a private higher education institution/provider.”
20.	A copy of this letter must be forwarded to the relevant person(s) at the brand or The IIE that would be involved in the study.
21.	Research must be conducted in such a way that the normal programme and operations of the site/ offices is not interrupted.
22.	The campus head of a site must be consulted about an appropriate time when the researcher(s) may carry out the research at the site.
23.	The researcher(s) may only use this data for these research purposes and in no other way.
24.	Should the researcher(s) wish to publish this research or in any way make the results public, for example by publishing the results on a social media platform, this IIE’s Ethics Committee will need to approve a request to this end first.
25.	No names or identifying information of participants may be used within the research and the research must be voluntary.
26.	Photographs of human subjects may only be taken if relevant to the research and informed consent from the participants or respondents was obtained, and, even with informed consent, the photographs may not be published.

27.	The researcher is responsible for supplying and utilising their own research resources, such as stationery, photocopies, transport, and telephones and should not depend on the goodwill of the institutions or the offices visited for supplying such resources.
28.	If any of The IIE reports or policies are used as part of the research, all identifying information needs to be removed.
29.	Please make it clear that the information will not be used punitively in any way and participants may in no way be counselled or advised based on this.
30.	The reference number of the permission letter, if permission is granted, must appear, in one format or another, on all research documentation distributed amongst IIE staff or students.

Declaration by the researcher (student)	
1.	I declare that all statements made by myself in this application are true and accurate; and
2.	I accept the conditions associated with the granting of approval to conduct research and undertake to abide by them.
Signature of the researcher (student)	Date

Declaration by the supervisor/promoter	
I declare that	
1.	the above student is enrolled at the institution to which the undersigned is attached;
2.	and that the research proposal and or study has been approved by the Ethics Committee of the institution at which the student is registered; or request a gatekeepers letter as part of the institution's Research Ethics Clearance application process.
3.	and that the questionnaires/structured interviews/tests meet the criteria of: <ul style="list-style-type: none"> • Educational accountability; • Proper research design; • Sensitivity towards participants; • Correct content and terminology; • Acceptable grammar; and • Absence of non-essential/superfluous items.
Signature of the supervisor/promoter	Date



Annexure F – Progress Report by Supervisor on Higher Degree

To be completed by the supervisor(s)

Candidate			
First name:			
Last name:			
Student number:			
Qualification:			
Discipline:			
Full time	<input type="checkbox"/>	Part time	<input type="checkbox"/>
Year first registered:			
Submission date:			
Supervisor			
First name:			
Last name:			
Title of the research report/dissertation/thesis			
Progress indication			
1.	Since my last progress report, I have seen the following writing work:		
2.	The candidate has consulted with me _____ in the last six months.		
3.	The candidate's progress is satisfactory. Please tick one.		
	Yes	<input type="checkbox"/>	No <input type="checkbox"/>
4.	If no, the candidate's progress is not satisfactory for the following reason(s):		

5.	If no, I recommend Please tick one.	
	No action	
	Extension	
	Suspension	
	Warning	
	Deregistration	
	Other (please specify)	
6.	The candidate has completed his/her research and is expected to submit the completed research report/dissertation/ thesis by the:	
7.	Has the research diverged in any way from that of the original proposal? If so, what steps have been taken to accommodate this change in direction?	
NOTE:		
If more than one supervisor is appointed, kindly either submit a separate form or sign below if you agree with the contents of this report.		
First supervisor		
Signature		Date
Second supervisor		
Signature		Date
National Postgraduate Coordinator		

Signature	Date
NOTE: Students who do not send progress reports <u>will not be granted extensions</u> if they do not complete in time.	



Annexure G – Progress Report by Candidate on Higher Degree

To be completed by the candidate

Candidate	
First name:	
Last name:	
Student number:	
Qualification:	
Discipline:	
Full time	Part time
Year first registered:	
Submission date:	
Supervisor	
First name:	
Last name:	
Title of the research report/dissertation/thesis	
Progress indication	
1.	Do you have regular and adequate contact with your supervisor? Please elaborate.
2.	If you have not submitted your research proposal when do you expect to submit it?
3.	Please give a <u>brief</u> report on the progress of your research to date, for example, the chapters completed.

4.	Please indicate the expected submission date for your dissertation or thesis.	
5.	If appropriate, please include any further comments/ information on a separate sheet	
Candidate		
Signature		Date
NOTE:		
Kindly return via email to _____ by no later than _____.		



Annexure H – Supervision Ratios

Full-time staff				
The total weighting of supervisor: student ratio may not exceed 70. This ratio is based on a maximum of 40% of a full-time academic's workload (2 days a week).				
Independent Contractors (ICs)				
Brands pay a flat fee for supervisors working as independent contractors. The flat fee is dependent on the brand and type of supervision required at a particular NQF level. The total weighting of supervisor: student ratio may not exceed the maximum hours that can be allocated to supervision. This ratio based on the maximum number of hours an IC can be employed per year (maximum 600/ 700/ 800 hours per year as per APS). Please use the Supervisor Ratio Calculation Tool on Intralink under Brand Information to determine supervisor capacity in relation to available hours.				
Level	Less experienced supervisor	Lead supervisor mentoring less experienced supervisor	Main supervisor	Co-supervisor
Honours Degree NQF 8 (Full-time – Year)	Weighting of 2 per student – max 5 students under supervision of a lead supervisor	Weighting of 1 per student per less experienced supervisor	Weighting of 2 per student	N/A
Honours Degree NQF 8 (Part-time – Semester)	Weighting of 4 per student – max 5 students under supervision of a lead supervisor	Weighting of 2 per student per less experienced supervisor	Weighting of 4 per student	N/A
Master's Degree by Coursework NQF 9	Weighting of 3 per student – max 5 students under supervision of a lead supervisor	Weighting of 1.5 per student per less experienced supervisor	Weighting of 3 per student	N/A
Master's Degree by Research NQF 9	N/A	N/A	Weighting of 4 per student	Weighting of 2 per student
Doctoral Degree (PhD) NQF 10	N/A	N/A	Weighting of 5 per student	Weighting of 2.5 per student
NOTE:				
<ul style="list-style-type: none"> The maximum number of students a less experienced supervisor can supervise is 5 at Honours level and 5 at coursework Master's level. The maximum weighting for an IC supervisor who works full-time at another institution is 15. 				



Annexure I – Memorandum of Understanding

<p>This Memorandum of Understanding (MoU) sets the terms between the postgraduate student and the supervisor to ensure that the supervision experience is productive and that expectations are clarified and met. It is between</p>
<p>the student</p>
<p>and the supervisor</p>
<p>Purpose:</p> <p>Although an MoU is not a legally binding document, it is a serious agreement based on mutual respect between a student and his/her supervisor in which the roles and responsibilities of both parties are stipulated and the intended actions of the student for the year ahead are outlined. The MoU should be viewed as a tool to assist in the planning and carrying out of a postgraduate project. It should not be viewed as an administrative burden. It represents statements of intent and the implied obligations are what a supervisor and student could reasonably be expected to meet under normal circumstances.</p>
<p>The student’s expectations:</p> <p><i>The student must set out in as much detail as possible what s/he expects of the supervisor.</i></p>
<p>Supervisor’s comment on student expectations:</p>
<p>Student’s plans and commitments:</p> <p>a) The student will set out his/her plan for the study with detailed time commitment and submission deadlines.</p> <p>b) The student will submit biannual progress reports, if it is a requirement of the degree.</p> <p>c) The student will inform the supervisor when s/he will be on leave or otherwise absent or unavailable for more than two weeks.</p>

- d) The student will attend all mutually agreed-upon appointments and will inform the supervisor in advance if s/he needs to move the meeting time or date.
- e) The student will acknowledge any emails from the supervisor within two workdays and will communicate the planned action within the reply.
- f) The student will keep in regular contact with their supervisor and inform him/her of any administrative or academic difficulties experienced so that the supervisor may advise.
- g) The student will meet all agreed-upon and prescribed submission deadlines.
- h) The student will adhere to all general academic ethics with regard to academic integrity and plagiarism, and ethical requirements relating to the research work at all times.
- i) The student will identify an appropriate topic that will make a contribution to the field.
- j) The student will select an appropriate design and methodology to collect and analyse data and present the findings in an academically sound and fully referenced dissertation/thesis.
- k) The student will attend all compulsory seminars and will carry the costs associated with this.
- l) The student will, as far as possible, submit written drafts of work-in-progress free of spelling mistakes, grammatical errors and incorrect punctuation.
- m) The student will accept responsibility for the overall coherent structure of the final dissertation/thesis.
- n) The student will take responsibility for obtaining professional assistance with the linguistic editing and formatting of the final dissertation/thesis as required and will carry the costs associated with this.
- o) The student will attend to any amendments or revisions as required by the supervisor and/or external examiner.

Supervisor's Plans and Commitments

- a) The supervisor will provide feedback on, among other things:
 - i. Whether the required standards are being met;
 - ii. The quality and comprehensiveness of the content;
 - iii. Quality of academic sources and referencing requirements;
 - iv. The cohesion and coherence of the study;
 - v. Appropriateness of academic discourse and register;
 - vi. Language proficiency;
 - vii. Argument construction;
 - viii. Gaps in conceptual understanding;
 - ix. Appropriateness of data collection and analysis methods;
 - x. Accuracy of analysis;
 - xi. Quality and comprehensiveness of findings and interpretations;
 - xii. Ethical concerns;
 - xiii. Threats to the validity and reliability (or trustworthiness) of the study.
- b) The supervisor will provide timely, specific, actionable and frequent feedback.
- c) The supervisor will provide feedback on submitted work within _____ workdays.
- d) The supervisor will assist the student in developing a research proposal.
- e) The supervisor will assist the student with ethics clearance.
- f) The supervisor will submit biannual progress reports.
- g) The supervisor will inform the student when s/he will be on leave or otherwise absent or unavailable for more than two weeks.
- h) The supervisor will provide the student with publication support.
- i) The supervisor will assist with idea generation and will assist in providing focus, direction, and clarity.
- j) The supervisor will communicate and set standards.
- k) The supervisor will provide guidance in terms of planning, organising and deadline management.

- l) The supervisor will attend all mutually agreed-upon appointments and will inform the student in advance if s/he needs to move the meeting time or date.
- m) The supervisor will acknowledge any emails from the student within two workdays and will communicate the planned action in the reply.
- n) In instances of co-supervision the supervisors will not provide the student with conflicting opinions/comments. If there are differences in opinion those will be discussed among the supervisors and clarified before the agreed-upon comment(s) is communicated to the student.

Intellectual Property

- a) Please refer to The IIE Research and Postgraduate Studies Policy (IIE007).
- b) Intellectual property is the general term for intangible property which is a result of intellectual and/or creative efforts, protected by law. It refers to all forms of copyright, design right, patents, trademarks, information, diagrams, expertise, research results and inventions developed through the intellectual efforts of students and employees of The IIE.
- c) The IIE is entitled to any copyright from a research project/dissertation/thesis and/or article that may arise as a result of studies at this Higher Education Institution.
- d) The student gives his/her irrevocable consent when signing the registration form to the formal cession of any applicable rights to The IIE.
- e) All who contributed significantly to the conception, execution, and writing-up of a paper should be listed as authors. If the student and supervisor co-publish the student will be listed as the first author.
- f) If an article is submitted and not accepted or if changes are to be made to enable acceptance and the student is willing to do the work to resubmit, then the authorship stays the same, but the student may opt in writing to allow the supervisor to complete the process and then authorship positioning is swapped. If a student does not pursue publication on his or her own or make the required amendments within six months of receipt of an outcome the supervisor may proceed to publish on the work but must acknowledge the work of the student and must give the student an opportunity to co-author the article.

Reporting

Once the MoU has been signed by all parties, copies must be returned to and retained by the candidate, supervisor, campus postgraduate programme coordinator (CPPC) and the national postgraduate programme coordinator (NPPC), who will ensure that a copy of the MoU is uploaded onto the Postgraduate Studies Tracking System. Both the student and supervisor are required to submit biannual progress reports in which the supervisor and student need to comment on the effectiveness and adherence to the agreement and whether any amendments need to be made.

Conflict Resolution

In the event of a disagreement between a student and supervisor, both parties are encouraged to resolve the disagreement amicably and on their own. Either party may request the intervention of the Campus Postgraduate Coordinator (CPGC) to assist in finding a resolution to the disagreement. The next point of escalation would be to the National Postgraduate Programme Coordinator (NPPC) and, failing a resolution at this level, subsequently to the Head of Faculty concerned or to the Dean of Postgraduate Studies. Alternately, use can be made of the dispute resolution mechanisms outlined in the Student Code of Conduct, Dispute, Grievance and Disciplinary Policy (IIE015) which will apply.

Duration

This MoU is at-will and may be modified by mutual consent of the supervisor and student. This MoU will become effective upon signature by the supervisor and student and will remain in effect until modified or terminated by any one of the parties by mutual consent. The student will submit a plan for the work for the year ahead for the duration of the study by no later than the end of January for each academic year of registration. The student will also comment on the progress that was made against the plan set out for the academic year in his/her biannual progress reports.

Contact Information	
Student	
First name:	
Last name:	
Student number:	
Address:	
	Code: <input type="text"/>
Telephone:	
Email:	
Student signature	Date
Supervisor	
First name:	
Last name:	
Telephone:	
Email:	
Supervisor signature	Date
Co-supervisor (if applicable)	
First name:	
Last name:	
Telephone:	
Email:	
Co-supervisor signature	Date
Plan of work for the year ahead: to be completed by the candidate	
Thesis/dissertation title:	
Year of first registration for degree:	
Expected year of completion:	
Student's experiences	
<i>The student must outline his/her research experience and mastery of academic discourse as may be relevant and list any areas of development that require attention.</i>	

Key activities and research goals for the year				
Expected Outcomes <i>List of work/chapters expected to be complete and expected dates of submission to the supervisor.</i>				
Seminars to be attended this year and presentations due				
Skills development opportunities to be attended				
Planned leave or absence for this year				
Frequency and type of meetings for the year				
Progress reports to be submitted by			and by	

<i>Insert two dates.</i>			
Signed by			
<i>Candidate</i>			
Signature			Date
<i>Supervisor</i>			
Signature			Date



Annexure J: Consent Form Template

Explanatory information sheet and consent form for participants
<p>To whom it may concern,</p> <p>My name is [INSERT FULL NAMES AND SURNAME] and I am a student at [INSERT THE IIE BRAND'S NAME]. I am currently conducting research under the supervision of (insert supervisor's name) about [INSERT AIM OF RESEARCH/ BRIEF SUMMARY OF EXACTLY WHAT YOU ARE RESEARCHING]. I hope that this research will enhance our understanding of [INSERT THE ANTICIPATED CONTRIBUTION THAT YOUR STUDY WILL MAKE].</p> <p>I would like to invite you to participate in my study. In order to explain to you what your participation in my study will involve, I have formulated questions that I will try to fully answer so that you can make an informed decision about whether or not to participate. If you have any additional questions that you feel are not addressed or explained in this information sheet, please do not hesitate to ask me for more information. Once you have read and understood all the information contained in this sheet and are willing to participate, please complete and sign the consent form below.</p>
What will I be doing if I participate in your study?
<p>I would like to invite you to participate in this research because (insert reason). If you decide to participate in this research, I would like to (explain exactly what participation will involve).</p> <p>You can decide whether or not to participate in this research. If you decide to participate, you can choose to withdraw at any time or to decide not to answer particular interview questions.</p>
Are there any risks/ or discomforts involved in participating in this study?
<p>Whether or not you decide to participate in this research, there will be no negative impact on you. There are no direct risks or benefits to you if you participate in this study. You might, however, indirectly find that it is helpful to talk about your (insert what you are examining). If you find at any stage that you are not comfortable with the line of questioning, you may withdraw or refrain from participating.</p>
Do I have to participate in the study?
<ul style="list-style-type: none"> • Your inclusion in this study is completely voluntary; • If you do not wish to participate in this study, you have every right not to do so; • Even if you agree to participate in this study, you may withdraw at any time without having to provide an explanation for your decision.
Will my identity be protected?
<p>I promise to protect your identity. I will not use your name in any research summaries to come out of this research and I will also make sure that any other details are disguised so that nobody will be able to identify you. I would like to ask your permission to record the interviews, but only my supervisor, I and possibly a professional transcriber (who will sign a confidentiality agreement) will have access to these recordings. Nobody else, including anybody at [INSERT THE IIE BRAND'S NAME], will have access to your interview information. I would like to use quotes when I discuss the</p>

findings of the research, but I will not use any recognisable information in these quotes that can be linked to you.

What will happen to the information that participants provide?

Once I have finished all interviews, I will write summaries to be included in my research report, which is a requirement to complete my [INSERT NAME OF THE IIE QUALIFICATION]. You may ask me to send you a summary of the research if you are interested in the final outcome of the study.

What happens if I have more questions about the study?

Please feel free to contact me or my supervisor should you have any questions or concerns about this research, or if there is anything you need to know before you decide whether or not to participate.

You should not agree to participate unless you are completely comfortable with the procedures followed.

My contact details are as follows:

[INSERT NAME]
 [INSERT TELEPHONE NUMBER]
 [INSERT E-MAIL ADDRESS]

The contact details of my supervisor are as follows:

[INSERT NAME OF SUPERVISOR]
 [INSERT TELEPHONE NUMBER OF SUPERVISOR]
 [INSERT E-MAIL ADDRESS OF SUPERVISOR]

Consent form for participants

I, _____, agree to participate in the research conducted by [INSERT YOUR FULL NAMES AND SURNAME] about [INSERT AIM OF RESEARCH/BRIEF SUMMARY OF EXACTLY WHAT YOU ARE RESEARCHING].

This research has been explained to me and I understand what participation in this research will involve. I understand that:

- I agree to be interviewed for this research.
- My confidentiality will be ensured. My name and personal details will be kept private.
- My participation in this research is voluntary and I have the right to withdraw from the research at any time. There will be no repercussions should I choose to withdraw from the research.
- I may choose not to answer any of the questions that are asked during the research interview.
- I may be quoted directly when the research is published, but my identity will be protected.

--	--

Signature

Date



Annexure K: Consent Form for Audio or Video Recording

Consent form for participants	
<p>I, _____, agree to allow [INSERT YOUR FULL FIRST NAMES AND SURNAME] to audio record my interviews as part of the research about [INSERT AIM OF RESEARCH/BRIEF SUMMARY OF EXACTLY WHAT YOU ARE RESEARCHING].</p> <p>This research has been explained to me and I understand what participation in this research will involve. I understand that:</p> <ul style="list-style-type: none"> • My confidentiality will be ensured. My name and personal details will be kept private. • The recordings will be stored in a password-protected file on the researcher’s computer. • Only the researcher, the researcher’s supervisor and possibly a transcriber (who will sign a confidentiality agreement) will have access to these recordings. 	
Signature	Date