

UNIVERSITY OF CAPE TOWN

FACULTY OF SCIENCE

MASTER'S AND PhD STUDENTS: A HANDBOOK

MESSAGE FROM THE DEAN

Dear Postgraduate Student,

Postgraduate students are the lifeblood of research in our Faculty, vital for research impetus and a prime source of new and interesting ideas. We are a university with an excellent reputation for the quality of our research, both nationally and internationally. As a Faculty, we are committed to conducting high level research and you, as one of our postgraduate students, play a pivotal role.

The aim of this booklet is to provide information on a range of important policies and procedures of direct relevance to you as a higher degree candidate. By registering with us for a higher degree you automatically enter into a “working relationship” with your academic supervisor(s) and colleagues. This means that your supervisor has a well-defined responsibility to provide you with the assistance you need to ensure that you are successful in your postgraduate study and research. At the same time, it is expected that you will commit yourself fully to your research programme. Successful research requires independent thought and your supervisor will encourage you to think independently but will guide you on your way. Doing a research degree is a challenging task and the critical thinking and oral and written communication skills that you will learn will strongly enhance your future career prospects.

I ask you to read this booklet carefully because it contains very important information which, if not well understood may cause you much frustration. We are proud of the long tradition of outstanding research for which this Faculty is well known, and of the excellent Master's and Doctoral graduates who began their careers as post-graduates in this Faculty. I wish you every success in your research and trust that you will thoroughly enjoy your experience and be able to look back on these years as among the most enjoyable, stimulating and productive of your life. We look forward to sharing the excitement of research with you.

Best wishes
Professor Anton le Roex
Dean, Faculty of Science

MESSAGE FROM THE SCIENCE POSTGRADUATE STUDENTS' COUNCIL

Dear Postgraduate Student,

Welcome to the University of Cape Town. If you are joining us for the first time in 2014, I wish you the best as you embark on your postgraduate journey. I hope that you bring your best energy and spirit of perseverance to what will undoubtedly be a challenging yet rewarding experience.

The Science Postgraduate Students' Council (SPSC) is the representative body for the postgraduate students in the Science Faculty. The SPSC is your link to decision-making bodies in the Faculty, and the University via the Postgraduate Students' Association (composed of the various Faculty Council chairpersons and the UCT Students' Representative Council's Postgraduate Academic Chair). I urge you to make full use of your student representatives in communicating your comments, suggestions or concerns to the aforementioned bodies.

Our primary mission is to enrich the social and academic postgraduate student experience, a task we seek to accomplish through various means, including the annual Science Symposium. This is the SPSC's flagship event, showcasing the diverse research being undertaken by postgraduate students in the Science Faculty and promoting interdisciplinary social interaction between the students.

I would also like to draw your attention to the online Postgraduate hub, and a range of seminars and massive open online courses (MOOCs) providing opportunities to further stretch yourself as a postgraduate student. These were launched in 2013 by the office of the Director of Postgraduate Affairs which has been supportive of the activities of the SPSC.

Best wishes for your studies,

Ms Emang Molojwane
Chairperson
Science Postgraduate Students' Council

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<http://www.uct.ac.za/apply/applications/postgraduates/>

International Academics Programmes Office Tel. No. 021 650 2822
<http://www.uct.ac.za/about/iapo/overview/welcome/>

Accounts and Fees Office Tel. No. 021 650 1704
<http://www.uct.ac.za/students/postgraduates/fees/handbook/>

Student Housing Admission & Advocacy Tel. No. 021 650 2977
<http://www.uct.ac.za/apply/residence/life/overview/>

Postgraduate Funding Office Tel. No. 021 650 3622
<http://www.uct.ac.za/apply/funding/postgraduate/applications/>

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<http://www.uct.ac.za/apply/candidates/applications/>

Version: October, 2013

Acknowledgements: *The contents of this booklet have been drawn from the original written by Prof VC Moran, later modified and updated by a CUES subcommittee, and from the equivalent booklet in the Faculty of Engineering and the Built Environment.*

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1. INTRODUCTION

This booklet is an attempt to explain some of the administrative and academic issues related to the postgraduate experience. Your time and energy should be spent enjoying the excitement of your research, rather than wrestling with bureaucracy, and you are encouraged to take the time to read through these pages so that you are more aware of the processes that will affect your life as a postgraduate student.

Postgraduate education at UCT commonly results in one of two outputs: a Doctor of Philosophy degree (PhD) or a Master's degree (MSc/MPhil). Master's degrees in the Science Faculty may be obtained in one of two ways; (i) by a research dissertation; (ii) by coursework and a minor research dissertation/research project.

Note that this handbook is intended to serve as a guide to postgraduate students. Whilst it draws on other published University documents and Handbooks, it does not replace them. The rules for the various higher degrees are set out in the Handbook of General Rules & Policies (Handbook 3 in the UCT series) and the Faculty of Science Student Handbook (Handbook 11 in the UCT series).

2. WHAT IS THE DIFFERENCE BETWEEN A MASTER'S AND A DOCTORAL DEGREE?

The most basic difference between a Master's degree and a PhD is that the PhD is the higher degree: it requires more effort, time and original research. However, in practice the difference is more subtle than this. By convention a Master's degree is normally awarded following the successful examination of a dissertation, which means a discourse or discussion. A PhD is awarded on the basis of a thesis (an assertion or tenet that has to be proved against critical argument). In practice, however, the two terms are commonly used interchangeably.

A Master's degree is frequently a student's first encounter with real research. Its primary function is training in research. It is a clearly circumscribed piece of work that the supervisor feels confident can be undertaken within, or close to, the minimum time period. The skills imparted, and which the candidate hones through the process, include posing a research question, undertaking a relevant literature review, engaging rigorously with research methods, drawing valid conclusions and communicating findings in a clear, logical and scholarly way. Importantly, the work does not have to contain original findings - it must simply demonstrate a mastery of the methods of research.

The degree of Doctor of Philosophy, on the other hand, demands that the candidate is able to conduct independent research on his/her own initiative. Through the thesis the candidate must be able to demonstrate in his/her thesis that he/she is at the academic forefront in the topic selected, that the work is original and that it advances knowledge.

3. MASTER'S DEGREES IN SCIENCE

A candidate entering a Master's degree must generally have a BSc (Honours) degree or four-year undergraduate equivalent (i.e. a four-year degree post NSC equivalent, which includes a research project). Departments in the Science Faculty offer three types of Master's degrees; the differences are summarised below:

- Master of Science: This is a research-based degree in which a dissertation on a selected research topic is completed under the guidance of a supervisor. The majority of students in the Science Faculty complete their Master's degree in this manner.
- Master of Science (by coursework and minor dissertation): In this degree a candidate completes 50% of the requirement through coursework, and 50% by way of a minor dissertation on a piece of supervised research. The dissertation is by definition smaller in scope than one completed where the dissertation counts for the full degree.
- Master of Philosophy (MPhil): This is either a research degree, or a degree obtained by coursework and minor dissertation, for candidates engaged in cross-faculty research dissertations or where a candidate comes from a non-science academic background.

A detailed listing of the fields in which higher degrees are offered in the Faculty is set out in the Faculty Handbook.

4. DOCTORAL DEGREES IN SCIENCE

There are two types of doctoral degrees offered in Science – a PhD (Doctor of Philosophy) and DSc (Doctor of Science). The former is obtained via research submitted as a thesis and is in practice the most common mechanism for obtaining a Doctoral degree. The DSc degree has very rarely been awarded at UCT, and is normally based on a career of high quality publications focussed on a particular topic; in this regard it is more relevant to senior researchers late in their careers. The entrance requirement for the PhD is a Master's degree, but it is sometimes possible to upgrade to a PhD after completing the first year of Master's research (see page 8 for details).

5. ACADEMIC LOCATION OF THE DEGREES

Master's degrees are awarded by the Science Faculty, and are discipline-specific and students are located within the appropriate department. The PhD is a University degree (the award of the degree is the responsibility of the Doctoral Degrees Board (DDB)), but students are usually academically located in the department of the principal supervisor.

6. **STUDENT FUNDING**

The Postgraduate Centre & Funding Office (located on the Upper Level, Otto Beit Building, University Avenue North), is an important source of information and advice about potential funding sources and the procedures necessary to access these.

Contact the Postgraduate Funding Office with any queries regarding:

- funding your postgraduate studies;
- applying for conference and overseas travel grants;
- information on the NRF and the NRF online application process;
- delays in payment of your funding;
- information on the Postgraduate Centre and Seminar Room bookings, and for general help and information.

Students are encouraged to apply for financial support to a full range of potential sources early in their final year of undergraduate study, or in the year before they wish to initiate their postgraduate studies. For further information please visit the website: <http://www.uct.ac.za/apply/funding/postgraduate/applications/>.

7. **APPLYING FOR ADMISSION**

7.1 **Application procedure**

The Faculty will consider an application to register for a Master's or PhD degree from anyone who meets the academic entrance requirements. For a Master's degree this is an Honours degree or equivalent. An Honours degree is a post-Bachelor degree qualification. A four-year Bachelors degree that is considered equivalent to a South African Honours degree may be accepted, provided they have completed a research project. Entrance requirement for registration as a PhD student is a Master's degree or equivalent.

International students may require certification of their degree equivalence by the South African Qualifications Authority (SAQA). Contact the Postgraduate Administrator in the Faculty Office for the address. The Faculty reserves the right to make a final judgement on the South African equivalence of a foreign degree.

Applications for coursework Master's degrees are usually limited and applicants are accepted on a competitive basis. Students interested in applying for admission should first consult the department concerned to determine closing dates for applications, and what documentation is required.

Prospective candidates wishing to register for a PhD or a Master's by dissertation should have a discussion with the prospective supervisor and Head of Department (HoD) prior to applying formally to the University. A formal application will have to be submitted online at <http://www.uct.ac.za/apply/applications/postgraduates/>.

You will generally have to provide the following information:

- a *curriculum vitae* which includes your personal details, your academic history and any work experience;
- an official transcript of your university results (non-UCT students);
- in the case of an application for the PhD, provide a summary of your Master's research and list any publications which have arisen from this;
- the names and contact details (including e-mail addresses) of two referees who are familiar with your recent academic studies;
- a brief outline of your area of interest for research towards your Master's or PhD degree;
- the names of UCT staff members who have agreed to serve as your supervisor/s, if confirmed;
- an indication of when you will be available to start your studies;
- an indication of whether you will require funding to cover the costs of study fees and living expenses, and details of any scholarships that you have applied for; and
- proof that you meet the minimum English language requirement for admission.

Advice on application procedures can be obtained from the Postgraduate Administrator in the Science Faculty Office.

Do not arrive at UCT until you have been formally notified by the Faculty of Science that you have been accepted for postgraduate study.

English Language Proficiency

The medium of instruction and examination at UCT is English. You must have attained one of the following levels of proficiency in English:

For South African applicants:

- A pass equivalent to English (E symbol) at the South African Senior Certificate level; OR
- A pass equivalent to English at the South African National Senior Certificate level, either at Home Language or First Additional Language level.

For international applicants for whom English is a foreign language:

- A pass in the the Test of English as a Foreign Language (TOEFL) with a score of at least 570 on the paper-based TOEFL, or 230 on the computer-based TOEFL; or 88 on the Internet-based TOEFL or an overall band score of 7.0 (with no individual element of the test scoring below 6.0) on the International English Language Testing System (IELTS)
- For applicants who are permanent residents in South Africa and for whom English is a second language: a score of Proficient for the Academic Literacy section of the National Benchmark Test (NBT) Academic and Quantitative Literacy Test (AQL) written nationally from May onwards or a pass in the TOEFL with a score of at least 570; or an overall band score of 7.0 (with no individual element of the test scoring below 6.0) on the IELTS.

For more information about the TOEFL (including information on how to register for the tests and dates when tests are held), applicants should contact TOEFL at: PO Box 6155, Princeton, New Jersey 08541-6155, USA.

Email: toefl@ets.org Website: www.toefl.org.

Information on TOEFL is also available from the American Embassy or Consulate in your country.

Information about the IELTS may be obtained from the British Council at the British Embassy or Consulate in your country.

Information on IELTS is also available from the British Council, South Africa.

Johannesburg: 33 Hoofd Street Braamfontein 2001

Tel: 0860 012233 Fax: 0860 103525

Email: information@britishcouncil.org.za

If you are writing a TOEFL or IELTS test you must ensure that the test score is received by our Admissions Office no later than 15 January 2015.

7.2 **Supervision of the dissertation/thesis**

Except in exceptional circumstances, the principal supervisor must be a full-time permanent member of the academic staff of the Faculty. Co-supervision by persons within or outside the University is possible, but a person employed outside of the University may not act as a principal supervisor.

The choice of supervisor must be approved by the HoD. It is important that the HoD is satisfied that the proposed supervisor has adequate knowledge, time and resources to do the job properly. In the case of Doctoral candidates, the DDB is also responsible for the adequacy of the supervisor. Academic staff who do not have a PhD, will not normally supervise PhD degrees. In rare cases, people who are experts in their fields and have prior supervisory experience, but who do not have a PhD, are approved by the DDB to be the primary supervisor of a PhD thesis.

In the case of a student currently registered at UCT, the process of finding a supervisor which is outlined above will normally take place during the year prior to embarking on postgraduate study.

7.3 **Selecting a research topic**

The selection of a topic for research for a Master's or PhD may occur in two ways. Either the topic of research is identified by the prospective student, or a supervisor might provide a number of possible projects from which the student can choose; either way the supervisor and student need to agree on the selected research topic. The suitability of a research topic depends not only on its intrinsic academic merit, but also on funding realities. It is, however, the responsibility of the candidate to make the final selection, and it is wise to choose a topic of strong interest rather than one offering the better funding.

8. REGISTRATION

8.1 First registration

8.1.1 Research Master's and PhD students

There is no specific date for first registration of newly entering postgraduate students who are registering for a PhD or Master's degree (by dissertation only) - commencement is by mutual arrangement with the supervisor. However, Master's and PhD students who need to have the year of first registration counted as an academic year for their minimum period of registration (1 year for a Master's, 2 years for a PhD) must have been registered for the degree concerned by 30 April. Registration follows formal acceptance by the Faculty for admission and involves the completion of 3 forms – a registration form, a curriculum form and most importantly, a *Memorandum of Understanding (MoU)*. Registration at any time in the second semester incurs 50% fees.

Master's registration requires a short proposal approved by the HoD (1-3 pages) outlining *inter alia*:

- the topic to be investigated;
- familiarity with the central literature within the broad field of study; and
- clarity on the research methods.

PhD registration requires a short written research proposal (at least 3 pages), outlining the scope and intentions of the research that must accompany the registration forms. This is approved by the Deputy Dean on behalf of the Faculty. Final responsibility for registration and acceptance of a PhD student lies with the DDB. New PhD students will generally be required to develop a full research proposal during the first six months of their registration, and this may be a stated condition in the MoU. Failure to produce a satisfactory proposal within the allotted time frame will lead to termination of registration at the end of the first year of registration. Acceptance of the full PhD proposal may involve the candidate presenting a seminar, based on a written research proposal, to departmental staff, other postgraduate students and others with specialist knowledge in the field of study, which demonstrates, *inter-alia*, that:

- the candidate is familiar with the main literature in the field;
- there is sufficient scope in the topic for a PhD and there is a clear definition of the hypotheses proposed;
- the candidate has the ability to undertake the work;
- the potential contribution to knowledge has been identified and there is a clear definition of the key questions to be addressed in the context of the proposed hypothesis; and
- the method of research is sound and achievable and there is a clear knowledge of the experimental procedures to be used, and the methodology to be pursued in analysing the results.

8.1.2 Master's by coursework and minor dissertation

Students registering for Master's by coursework and minor dissertation need to do so by the first day of lectures. Normally a specific day is set aside (consult with the department concerned in this regard) to complete registration procedures which involve completing a registration form and curriculum form. When registering for the minor dissertation component (as a separate course code), later in the year, an MoU will also need to be completed. Registration must be completed by the deadline, or there is a fee penalty for late registration.

8.2 **International students**

All international students are required to go through a clearance/pre-registration process with the International Academic Programmes Office (IAPO) BEFORE faculty registration. International students cannot register with their faculties without clearance from IAPO. For pre-registration, you need to produce your passport with your valid UCT study permit, proof of medical insurance/aid and proof of payment of your fees. The student will be provided with an "International Students Pre-Registration" form from IAPO. This document must be submitted along with the registration forms to the Postgraduate Officer – Faculty of Science. The registrations of International Students will not be approved without these documents, nor will they be approved unless the necessary fee payments have been made. Any queries should be directed to IAPO at 021 650 2822 or int-iaapo@uct.ac.za

8.3 **Renewal of registration**

Each candidate is responsible for maintaining continuous registration. Registration and *Progress & Planned Activity (P&PA)* forms for returning candidates, with instructions, are distributed to departments in January. The P&PA form is also available on the web (a copy is shown in Appendix B). Candidates who for some reason do not receive their forms are expected to follow up and obtain them from the department. See Fees Booklet for deadlines for registration for returning students, a penalty fee is charged for late registration.

In November, each student's progress will be considered against the objectives agreed to in the MoU or P&PA form. Each supervisor is required to comment on the progress of their students and if the progress meets the work plan outlined in the MoU or P&PA then the student will be coded CONT and may proceed to register for the following year. If the progress is deemed to be unsatisfactory by the supervisor and this is supported by the HoD, then this will be discussed at the Faculty Examinations Committee (FEC) meeting. If the decision is upheld by the Committee, the student will be assigned a status of FECP (status pending final FEC decision) and be sent a letter to this effect. The student will be given an opportunity to show satisfactory progress and a revised P&PA form will be signed covering the period between November and the registration deadline the following year. Should the progress during this "pending" period be satisfactory, and the proposed plan for improving productivity be approved by the supervisor and HoD, the student will be assigned a code of FECC (FEC concession to continue) and will be allowed to register in the following year. If not, the student will be coded RENN (academically ineligible to continue) and will not be permitted to register the following year.

8.4 **Change of registration**

8.4.1 Upgrading to a PhD/Downgrading to a Master's

It is possible to change the status of registration during the process of study. Thus, it is possible for a Master's degree to be upgraded to a PhD if the supervisor believes that the student has made good progress, has shown suitable potential and that there is scope within the project to lead to a higher qualification. This would normally occur at the start of the second year of Master's registration, and at the latest must occur by the end of the second year of Master's registration. It is not possible to backdate registration to the first year. It is also not possible to use the work of the Master's degree towards a PhD after the examination process. Similarly, it is possible to downgrade from a PhD to a Master's degree, however, this must occur before examination. It is not possible for a Master's degree to result from a failed PhD.

The documents to be submitted to the Faculty Office in order to process an upgrade from Master's to PhD are, a letter of motivation signed by the supervisor(s) and HoD, a PhD research proposal, and a formal application submitted online at <http://www.uct.ac.za/apply/applications/postgraduates/>.

The documents to be submitted to the Faculty Office in order to process a downgrade from PhD to Master's are, a letter signed by the student requesting a downgrade, together with a motivation from the supervisor(s) and HoD and a formal application submitted online at <http://www.uct.ac.za/apply/applications/postgraduates/>.

8.5 **Leave of Absence or Cancellation/Discontinuation of studies**

8.5.1 Leave of Absence (LoA)

If it is impossible for a candidate to continue with his/her studies/research in any given year (for example due to serious illness or other compassionate grounds) but if he/she intends continuing in the following year then he/she must apply for leave of absence (LoA), in writing, to the Dean. LoA can be awarded for a full year, the first six months or the second six months of the year. At PhD level a maximum of one year LoA is allowed by the DDB. The request for LoA must include the *Application for Leave of Absence* form and must state the period, the reasons and include supporting documentation (e.g. medical certificate), and have the signed support of the supervisor and HoD.

8.5.2 Cancellation/Discontinuation of studies

If a candidate will be discontinuing studies permanently then he/she must formally cancel registration in writing on the prescribed form. The cancellation form is obtainable from <http://www.uct.ac.za/apply/fees/faq/cancellation/>. Applications for retrospective cancellation of registration are not accepted: there are specified dates after which no fees will be refunded (see Fees Booklet).

9. SUPERVISION

9.1 Supervisor(s)

All students registering for a degree by dissertation will be formally allocated a supervisor, who is responsible for giving guidance. Co-supervision by people from within or outside of the University is possible, but the principal supervisor should be a full-time academic member of staff within the department in which the student is registered and must always be a UCT employee. Emeritus Professors may continue as principal supervisors of students who were registered under them before their retirement. However, both Emeritus Professors and Honorary Research Associates may only act as co-supervisors, (not as principal supervisor) with newly registering Master's and PhD students. The approval of supervisors is the responsibility of the HoD, even though a student may have approached an individual staff member, or *vice versa*. The HoD must be satisfied that the supervisor has the necessary expertise, knowledge, skills and resources, time and funding to supervise the research. If the HoD is not satisfied that the experience/expertise of the supervisor is sufficient, or that they are overcommitted, he/she may insist on a co-supervisor being appointed. Typically a UCT supervisor will be permitted to supervise a maximum of six Master's and PhD level postgraduate students doing full time research dissertations.

Generally, members of staff should have a PhD in order to supervise both PhD and Master's students, but this does not necessarily exclude a member of staff without a PhD from supervising a PhD or Master's. Without exception, any member of staff without a PhD seeking to be the primary supervisor of a PhD candidate will require formal approval by the DDB. The application to the DDB should be brought by the HoD, via the Dean, motivating the case. In the case of applicants with a track record of successful supervision, this accreditation will not normally be withheld.

9.2 Memorandum of Understanding between Postgraduate Student and Supervisor(s)

For Master's and PhD registration, the Faculty has introduced an MoU to be signed in the first year of registration by both supervisor and candidate, clarifying issues relating to respective roles and responsibilities, frequency of access to supervisor, sabbatical leave planned by supervisor, timing of annual leave by supervisor and student, expected working hours for student, timeframes, funding (if appropriate) and intellectual property. A copy of the MoU form is shown in Appendix A. *The MoU is an important 'contract' between candidate and supervisor(s) and needs to be taken seriously, and filled out in as much detail as possible.*

Before the start of the second and subsequent years of registration, a P&PA form (Appendix B) needs to be completed and signed by both the candidate and supervisor(s). This process represents an annual review of progress and should be seen as an extension to the initial MoU. If in the opinion of the supervisor, adequate progress is not being made, the P&PA form should clearly lay down criteria (such as submission dates and milestones) against which further progress shall be measured. In November of each year, each student's progress will be assessed according to the criteria laid down in the MoU or P&PA form. If progress is deemed to be

unsatisfactory, a candidate may be refused permission to reregister in the following year (see section 8.3). This is a formal document and the student and supervisor will be held to it.

9.3 Roles and responsibilities of student and supervisor(s)

Responsibility of the student:

- To acknowledge and accept primary responsibility for his/her education.
- To demonstrate a good work ethic.
- To strive to meet the expected throughput rate (usually 2 years for a Master's student, 3-4 years for a PhD student).
- To share ideas and to work collegially.
- To participate in and to contribute to the life of the department, including being available to demonstrate at undergraduate practicals/tutorials.
- To commit to co-publication with the supervisor(s).
- To familiarise him/herself with the University rules, particularly with regard to plagiarism, and to commit to respecting those rules.

Responsibility of the supervisor(s) include:

- Giving guidance about the nature of research and the standard expected, about the planning of the research programme, about literature and sources, attendance at taught classes, about requisite techniques (including arranging for instruction where necessary), and about the problem of plagiarism.
- Maintaining contact through regular tutorial and seminar meetings, in accordance with the faculty/departmental policy and in the light of discussion of arrangements with the student.
- Being accessible to the student at appropriate times when he/she may need advice.
- Giving detailed advice on the necessary completion dates of successive stages of the work so that the whole may be submitted within a scheduled time.
- Requesting written work, as appropriate, and returning such work with constructive criticism, in reasonable time.
- Arranging, as appropriate, for the student to talk about his/her work to staff or graduate seminars, and to have practice in oral presentations.
- Ensuring that the student is made aware of inadequate progress or of standards of work below that generally expected.
- Ensuring that the candidate is (or becomes) familiar with, and observes, one of the internationally recognised guides to scholarly conventions on presentation, documentation of sources and the like. In particular, the candidate must:
 - adopt and use a standard convention for citation and referencing;
 - attribute, cite and reference all significant contributions to, and quotations used in, the thesis;
 - be aware of the consequences of any attempt to pass on work of others as his or her own, or other forms of plagiarism, namely an end to any prospect of scholarly career, a failure, and disciplinary measure.

9.4 Appeals

The relationship between supervisor(s) and postgraduate student is an important one: if it is unsatisfactory it can significantly and negatively impact on the educational experience. If serious problems develop in this relationship, the student should normally:

- Raise the matter with the supervisor(s) and seek to resolve the matter personally.
- If this does not resolve the matter, the problem should be referred to the HoD.
- If the supervisor is the Head, it should be referred directly to the Deputy Dean charged with Postgraduate Affairs.
- If the supervisor is the Dean or a Deputy Dean, the matter should be referred to the Deputy Vice-Chancellor with the research portfolio.

In the event that the above preferred route is not easily followed, the Chair of the Postgraduate Students' Council should be approached for advice.

9.5 Supervision and attendance at the University

During the period of registration, a higher degree candidate will be expected to be available on campus for discussion with his/her supervisor(s). For persons who are based outside Cape Town there is generally an expectation that the candidate will spend some period of time on campus interacting with the supervisor(s); the expected time spent on campus varies with department and needs to be clarified with the supervisor(s) and HoD concerned. In any event, a candidate must be prepared to make him/herself available for discussion at the University if required.

10. UNSATISFACTORY PROGRESS

Heads of Departments report each year, to the Faculty Examinations Committee (FEC), the names of Master's and PhD students whose progress is considered unsatisfactory. Extenuating circumstances, if any, will be tabled at that meeting. Each supervisor is required to comment on the progress of their students and should progress be deemed to be unsatisfactory, this will be discussed at the Faculty Examinations Committee (FEC) meeting. If the decision is upheld by the Committee, the student will be assigned a status of FECP (status pending final FEC decision) and be sent a letter to this effect. The student will be given an opportunity to show satisfactory progress between November and the registration deadline the following year. A new P&PA form will need to be signed covering this period, setting clear and defined objectives as to what progress will be made during this period. Should the progress during this "pending" period be satisfactory, the student will be allowed to register in the following year. If not, the student will be coded RENN (academically ineligible to continue) and will not be permitted to register the following year.

11. ETHICS

The issues of ethics and intellectual honesty are vital to university life. The Faculty takes the issue of ethics in research very seriously and to this end has established a Research Ethics Committee which considers the following:

- All ethical matters related to research in the Faculty including, but not exclusively, conflicts of interest, authorship, the relationships between junior and senior research workers, and the role of the scientist in society.
- Any ethical issues brought to the attention of the Committee by researchers in the Faculty.
- To screen and approve, or otherwise, all research proposals in the Faculty that relate to human or animal subjects; this includes proposed research involving students or staff, by UCT researchers or by outside visiting researchers.
- To be aware that research questionnaires involving human subjects have ethical dimensions, and that research involving staff or student perceptions of race, identity or ethnicity also have ethical dimensions.
- To report to the Senate Ethics in Research Committee and, in addition, report all instances of unethical or improper research practice to the Dean for referral to the Chair of the University Research Committee.

At the time of first registration, the supervisor(s) will have had to sign a statement in the MoU relating to the need for any ethical clearance required for a student's research.

A particular (and unfortunately growing) ethical issue is that of plagiarism. Plagiarism, in essence, is passing off someone else's work as your own: it results from inadequately acknowledging sources of data, analyses and ideas, and includes direct copying of passages of text. It is dishonest and it has no place at a university. If students are in any doubt on issues relating to plagiarism, they must consult their supervisor(s) or the Ethics Committee. Instances of plagiarism will be taken to the University Court and may have very serious consequences, including rustication or even expulsion.

All Master's candidates, at the time of submission, are required to submit a declaration, which should be included in the dissertation, stating: 'I know the meaning of plagiarism and declare that all of the work in the dissertation, save for that which is properly acknowledged, is my own'.

The PhD declaration is discussed in the next section.

If in any doubt regarding ethical issues relating to research, seek advice from your supervisor(s) or HoD.

12. SUBMISSION OF A DISSERTATION/THESIS

12.1 Timing and process of submission

At the conclusion of research, the candidate must submit a dissertation or thesis for examination. This normally occurs after receiving an indication from the supervisor(s) that the product is in a form which is acceptable for submission. However, a candidate is not prevented from submitting without the supervisor's approval.

If a candidate intends submitting a Master's dissertation for examination he/she must inform the HoD in writing, with a copy to the Dean, of such an intention two weeks in advance of the planned submission date. The HoD, with input from the supervisor(s), will then nominate suitable examiners for approval by the Dean. If submitting a PhD thesis, the candidate must inform the Doctoral Degrees Board Officer (Masingene Building) in writing of such intention one month prior to the planned submission.

The dates for submission of dissertations and theses are:

- **12h00 on 17 February 2014** for persons hoping to graduate in June;
- **12h00 on 15 August 2014** for persons hoping to graduate in December

Students who do not submit by 12h00 on 17 February 2014 will be required to re-register before submitting. Where a student who submitted prior to the start of term is required to revise and resubmit a dissertation/thesis, they must register and pay the academic fee for that year. If the examination result is not available prior to June graduation, the student will be registered by the Faculty for that academic year but does not have to pay fees.

Please refer to the University Fees Booklet for submission dates with respect to fee rebates.

12.2 Format

There is no standard format for the submission of a dissertation or thesis: formatting is at the candidate's discretion, but using A4 paper is the expected norm. Reasonable width margins (2 - 2.5 cm) are desirable to ensure that binding does not impede reading of the text. However, candidates should consult their supervisor(s) early on in the process. The contents must be printed in either double or one and a half spacing using a common font throughout. Printing on both sides of the page is encouraged, but a reasonable weight paper must then be used.

A candidate who contemplates including published papers in his/her dissertation/thesis must accept that approval to do so is not automatic. Refer to the *Guidelines for the inclusion of publications in the PhD thesis*, available from the DDB or Faculty Office, for further information. If a candidate contemplates doing this, he/she must note this in his/her MoU with his/her supervisor each year. In addition the candidate and supervisor are advised to seek the advice of the Faculty's higher degrees committee about his/her plan to do so at an early stage. While the

faculty committee will not be able to give a binding answer in the case of PhD candidates, it will be able to indicate to the candidate and his/her supervisor whether:

- it is likely to support the proposal; where published papers are included, the thesis must nonetheless show acceptable academic style, scholarly content and coherence as a connected account with a satisfactory introduction, statement of thesis and conclusion; or
- it is unlikely to support submission according to the plan outlined and why. A binding decision can only be given by the DDB for PhD candidates. It is accepted that this may not be possible until sometime into the work.

For Master's degrees a candidate must submit two hard copies of the dissertation in temporary binding and a CD containing a PDF version of the dissertation to the Postgraduate Officer in the Science Faculty Office. Once the dissertation has been finally accepted, one unbound hard copy and one electronic copy (in PDF format on a labelled, read-only CD packed in a hard 'jewel' case) of the final, corrected dissertation must be lodged with the Faculty Office.

For a PhD, a candidate must submit to the Doctoral Degrees Board Officer three hard copies of the thesis in temporary binding (glue-spine binding), one unbound hard copy and one electronic copy (in PDF format on a labelled, read-only CD packed in a hard 'jewel' case not exceeding 10MB).

12.3 Length

In the case of a PhD, the thesis may not exceed 80,000 words. If it is felt that it is essential to exceed this length, special permission must be obtained from the Dean. It is the expectation that Master's degrees should be substantially shorter than this with a maximum of 50,000 words allowed; on the order of 35,000 words (~100 pages excluding appendices) would be the expected norm.

12.4 Title page

There must be a title page on which should appear the dissertation/thesis title, name of candidate (plus qualifications if you wish), name of the supervisor and co-supervisor(s), name of department, University and the month and year of submission. The following is the recommended wording used after the thesis title and name of the candidate:

Dissertation (or Thesis) presented for the degree of Master of Science
(or Doctor of Philosophy)
in the Department of ...
University of Cape Town
Month and Year
Supervisor(s)

For a coursework Master's minor dissertation the wording should read 'Minor Dissertation presented in partial fulfilment of the requirements for the degree of...'

12.5 **Plagiarism declaration**

Following the title page there should be a page containing the following signed statement by the candidate:

‘I know the meaning of plagiarism and declare that all of the work in the dissertation (or thesis), save for that which is properly acknowledged, is my own’.

12.6 **Publication**

When presenting a thesis a candidate shall be deemed by so doing to grant free licence to the University to publish it in whole or in part in any format that the University deems fit.

No publication may, without the prior permission of Senate, contain a statement that the published material was or is to be submitted in part or in full for the degree.

12.7 **Declaration of free licence**

In the case of PhD students, the candidate is required to sign a declaration stating:

‘I hereby:

- (a) grant the University free license to reproduce the above thesis in whole or in part, for the purpose of research;
- (b) declare that:
 - (i) the above thesis is my own unaided work, both in conception and execution, and that apart from the normal guidance from my supervisor(s), I have received no assistance except as stated below;
 - (ii) neither the substance nor any part of the thesis has been submitted in the past, or is being, or is to be submitted for a degree at this University or at any other University, except as stated below.

I am now presenting the thesis for examination for the Degree of PhD.’

12.8 **Referencing**

Forms of referencing must be standard for the discipline and must adhere to a recognised international convention, agreed with the supervisor(s).

13. **EXAMINATION**

13.1 **Overview**

The system of independent external examination lies at the heart of credible quality assurance. The examination of Master’s dissertations involves two examiners (at least one of whom must be at an institution of high academic standing outside of South Africa). The examiners are selected on the basis of their knowledge in the field within which the research is located. Appointments of examiners of Master’s dissertations are subject to approval by the Dean.

At the Doctoral level, the thesis is examined by three external experts in the field, at least two of whom are based at an institution of high academic standing outside of South Africa. Appointments of examiners of PhD theses are subject to the approval by the DDB.

In all cases, the identity of the examiners is kept strictly confidential from the student. This confidentiality remains in force until the examiners give permission for their identities to be known after the examination process has run its full course (note that the examiners have the right not to give this permission). Supervisors are not permitted to make contact with examiners during the examination process. No dissertation or thesis will be examined under conditions of secrecy, though it is possible to apply for *temporary* confidentiality of a dissertation or thesis under examination where there is good reason for a short delay in making the research public.

13.2 **What is expected of a Master's dissertation?**

In order for the degree to be awarded, a Master's dissertation must indicate that a candidate has successfully completed a programme of training in research in that he/she:

- understands the nature, objectives and scientific principles underlying the investigation;
- is adequately acquainted with the relevant literature;
- has mastered appropriate techniques and analytical methods;
- assesses the significance of findings in a thorough and logically-coherent manner;
- shows evidence of critical and independent thought;
- reports on the study in an acceptable scientific format (in accordance with Faculty rules and norms) that is satisfactory in both presentation and literary style.

A Master's degree is essentially a training course to equip a candidate with skills necessary either for employment in a given field, or for further independent research. Consequently, the dissertation need not involve original research, distinctly advance knowledge of the subject or be potentially publishable in a peer-reviewed scientific journal.

Awarding a Master's with distinction:

Master's degrees are awarded with distinction in exceptional cases only. Usually a unanimous decision from both examiners is required, but a distinction may be awarded by the Master's Degree Committee if one examiner recommends this and the other examiner does not object and their comments and criticisms are relatively minor.

To recommend that the degree be awarded with distinction, the examiner should be of the opinion that the work is outstanding at the Master's level, bearing in mind the time available to the candidate (usually between twelve months and two years), the methodological complexities involved, and the intellectual difficulty of the particular subject matter. As a guideline, examiners might consider a dissertation to be worthy of a distinction if it fulfils most of the following criteria:

- the standard is in the top 20%, approximately, of the Master's dissertations that they have examined;
- the content is original, distinctly contributes to knowledge in, or understanding of, the subject and/or is potentially publishable in recognized international journals in the field;
- the structure of the dissertation is satisfactory; and,
- the presentation is excellent. Some minor editorial errors (such as formatting, grammatical or spelling mistakes) may be tolerated and referred back to the candidate for correction. Ubiquitous and careless errors in presentation that point to a lack of exactitude should militate against the award of a distinction.

13.3 Assessment of examiners' reports

Examiners of Master's dissertations and PhD theses are asked to recommend one of the following outcomes:

- (A) that the dissertation/thesis be passed without the need for corrections and the degree be awarded;
- (B) that the dissertation/thesis be passed and the degree be awarded only after specified changes have been made to the text of the dissertation;
- (C) that the dissertation/thesis is unsatisfactory and should be substantially revised and resubmitted for examination;
- (D) that the dissertation/thesis be rejected, and the degree be not awarded.

Distinctions are not awarded to PhD theses.

In the case of Master's degrees, the examiners' reports are submitted to the HoD who writes a consolidated report, taking all examiners' comments into account. He/she makes a recommendation to the Dean on the outcome of the examination process in terms of the categories and whether a distinction should be awarded or not. The Dean will then make the final decision on the outcome.

In the case of Doctoral degrees, the reports are received by a Committee of Assessors, chaired by the Dean, who evaluate the reports and recommend a result (categories A, B, C, or D – see above) to the Doctoral Degrees Board who makes the final decision.

In the case of Master's by coursework and dissertation, to obtain the degree with distinction, a candidate must obtain a distinction in each of the coursework and dissertation components. Likewise, both components must be separately passed to achieve an overall pass.

After a decision is reached, the Faculty Office (Master's) or DDB (PhD) sends a letter to the candidate, the HoD and the supervisor(s) informing them of the outcome.

Where improvements and corrections are required, the student must consult with the supervisor(s) for advice on what needs to be done. It is the responsibility of the supervisor(s) and the HoD and, in the case of Master's dissertations, the Dean to sign off on these once the candidate has completed the necessary revisions. The Chair of the DDB is responsible for approving corrections in the case of PhD candidates. Such corrections should be completed within six months (Master's) or one year (PhD) of notification. *It is important to note that in the event of a C result, the candidate has only one chance of resubmission, i.e. option C is not available in the re-examination.*

Once a decision is taken to award the degree, copies of the dissertation/thesis are lodged on the open shelves of the library.

14. ISSUES RELATING TO INTELLECTUAL OWNERSHIP

14.1 Secrecy conditions

A thesis or dissertation accepted by the University for a higher degree may not be subject to secrecy restrictions of any kind. Any thesis or dissertation approved for a higher degree is placed on the open shelves of the Library. In exceptional cases, should a moratorium on publication of results have been agreed to, the dissertation/thesis may be examined with a confidentiality requirement for a fixed period.

14.2 Copyright

The University recognises the rights of those who have ownership of copyright. Members of the University are explicitly prohibited from infringing copyright, either in terms of publications or software.

A candidate may, subject to prior approval of his/her supervisor(s), publish part or the whole of the work done under supervision for the degree before presenting it for the examination. Copyright rests with the author. However, no publication may, without the consent of Senate, contain a statement that the published material was, or is to be, submitted in part or in full requirement for the degree.

Further, when presenting a dissertation or thesis, the candidate is deemed, by doing so, to be granting the University free licence to publish it in whole or in part, in any format that the University deems fit.

14.3 Patents

This is a complex issue and is governed by University rules and guidelines. Students wishing to pursue it should consult with their supervisor(s) and the Research Office.

15. JOINT PUBLICATION

It is common practice for joint publications between the candidate and the supervisor(s) to be generated through the research process. There are differing conventions across the Faculty about the ordering of authors. This should be clarified and jointly agreed between the student and the supervisor(s) early in the MoU.

16. **INCORPORATION OF STUDENTS INTO THE LIFE OF THE FACULTY**

Postgraduate students are formally incorporated into the life of the Faculty through the following structures: -

16.1 **The Science Postgraduate Students' Council (SPSC)**

Postgraduate students have a representative forum in the form of the Science Postgraduate Students' Council. This body comprises one representative from each of the 12 Science Faculty Departments, elected by their fellow postgraduates. The Deputy Dean charged with postgraduate affairs is an *ex officio* member. The Chair of the Science Postgraduate Students' Council represents Science Faculty postgraduate students on a number of University-wide committees. The SPSC also plays an important social role.

16.2 **The Dean's Advisory Committee and Science Faculty Board**

Postgraduate students are represented, via the SPSC, on the two main decision making bodies of the Faculty, viz. the Dean's Advisory Committee (a committee of the Dean, Deputy Deans and Heads of Departments) and the Science Faculty Board.

16.3 **The Faculty Executive Committee**

The Deputy Dean who is *ex officio* member of the SPSC serves on the Faculty Executive Committee which meets every week and allows for timeous action on postgraduate matters when necessary.

16.4 **Orientation**

An orientation event is held annually, at which postgraduate students are addressed on issues such as rights and responsibilities, administrative issues, institutional relationships, financing and so on. It is typically held in April/May, and is hosted by the Deputy Vice-Chancellor responsible for research and is open to all postgraduate students at UCT.

17. **INCORPORATION OF STUDENTS INTO THE LIFE OF THE UNIVERSITY**

The University has a Board for Graduate Studies, chaired by a Deputy Vice-Chancellor. All Faculties are represented on this body by both a staff and a student representative. This Board is charged with improving the postgraduate educational experience within the University at large. In addition, a University Postgraduate Student Council looks after the interests of UCT postgraduate students in general, and a Postgraduate Student Centre has been opened on the Upper Campus. The Centre is intended to be a place for formal and informal contact between postgraduate students across all Faculties. It contains workshop and meeting facilities, computers for word processing, newspapers and magazines.

18. **POST-DOCTORAL FELLOWS**

For administrative purposes, to facilitate access to the various services on the campus, post-doctoral fellows are registered on the University's student system. This is done through the Postgraduate Centre & Funding Office in the Otto Beit Building. However, it is the Science Faculty's belief that post-doctoral students should be considered equivalent to members of staff and be incorporated into the intellectual and social life of departments.



UNIVERSITY OF CAPE TOWN

Faculty of Science

Memorandum of understanding

Between

Postgraduate student and Supervisor(s)

This memorandum of understanding is between

Student name: Student number:

Signature: Date:

and

Supervisor full name and surname:

Signature: Date:

and is designed to ensure that the supervision/student experience is as mutually productive as possible.

*General obligations of supervisors and students are outlined in Section 9.3 of the Faculty of Science **Postgraduate Handbook**. By signing this document, both parties acknowledge their understanding of the general expectations it contains.*

Postgraduate student details:

Degree for which registration is sought: MSc / PhD (*circle appropriate degree*)

Course code:Year of first registration:

Proposed dissertation/thesis title and short research proposal (*attach 1-3 page proposal for Master's and at least 3 pages for PhD*):

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.....

Co-supervisor(s), if any:

Full name & surname:

Department:

Institution:

Role and responsibilities:

.....

Full name & surname:

Department:

Institution:

Role and responsibilities:

.....

Outline of expectations and commitments:

In free format/point form provide an outline of expectations set out in as much detail as possible and including expected timeframes to the satisfaction of supervisor and candidate (use separate pages if necessary).

Research expectations (*Literature review, data collection, data analyses, writing up of results, laboratory access; field work; access to equipment; courses to attend; conference attendance; seminar presentations*):

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Please note: If you plan to include publications as stand-alone chapters in your thesis/dissertation, you are required to obtain approval from the Dean (and Doctoral Degrees Board, in the case of a PhD), in the year of submission. In this regard, refer to rules in the Postgraduate Handbook.

Supervisor/student commitments (*frequency of access to supervisor; sabbatical leave planned by supervisor; timing of annual leave by supervisor and student; expected working hours for student*):

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Financial support (*bursary; research costs; conference and travel, etc.*):

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Intellectual Property

1. I, as the student, by signing this document, confirm that I have read the UCT IP Policy (www.uct.ac.za/about/policies/).
2. Who funds the research (exclude bursaries)?
3. In terms of the funding arrangement, has the IP been assigned to the funder (i.e. either because the full cost model has been applied to the project, or in terms of a research contract)?
YES / NO (delete that which is not applicable)
4. In terms of the IP Rights from Publicly Financed Research and Development Act, the Student and Supervisor acknowledge that in all cases where the answer to 3 is “No” there is an **obligation to disclose** an invention to Research Contracts and IP Services with 90 days of the discovery, using an Invention Disclosure Form (download from www.rcips.uct.ac.za/ip/overview/). There is an obligation to maintain the invention confidential within UCT until the IP has been evaluated by RCIPS to determine its ability to be protected. RCIPS should be contacted well in advance of any planned public disclosure, such as presentation at an external meeting or conference, publication in a journal, submission of an abstract, publication on a website or blog and the submission of a thesis for examination.
5. In terms of the UCT IP Policy, the university owns the IP arising from postgraduate research (except for copyright in a thesis, as per Clause 6) unless ownership has been assigned to a third party. This includes inventions, discoveries and other developments of a technical nature whether or not these may be the subject of legal protection, as well as tangible research property arising from research activities such as prototypes, drawings, designs and diagrams, biological organisms and material, reagents, integrated circuit chips, software and data.

Appendix A

6. Copyright in a dissertation or thesis vests in the student who has written the dissertation or thesis, subject to the usage rights of the University provided in rules for degrees, diplomas and certificates. In terms of Rule GP8, when presenting a thesis for examination, a candidate shall be deemed by so doing to grant a royalty-free, non-exclusive, non-transferable licence to the University to publish it in whole or in part in any format that the University deems fit. Students should take note of this provision should they enter into an agreement with a publisher to publish their thesis.
7. The University assigns the copyright of all scholarly and literary publications to the authors of such works.
8. Graduate students often use data that belongs to the University, or a research group, or an external party. Any issues relating to data ownership should be noted here:
.....

Ethical Clearance

I, as supervisor of this research, hereby confirm that:

- (a) any necessary ethical clearance required for this research will be obtained and all research will adhere to the terms of reference as written in section 11 of the Postgraduate handbook.

Supervisor signature:

Approval by HoD

I have reviewed this completed MoU and I am satisfied that both the supervisor(s) and the department are able to meet the obligations to the candidate as set out in this MoU:

Signed:.....

Name:.....

Date:.....

I approve/refuse registration of the candidate in the Faculty of Science:

Signed: Date:

Dean/Deputy Dean



Faculty of Science

Postgraduate Progress and Planned Activity Report Form

To be completed by returning MSc and PhD candidates and commented on, and agreed to, by supervisor, approved by HOD and Deputy Dean
It is strongly recommended that both student and supervisor read the Postgraduate Handbook (Faculty of Science) prior to completing this form

Student name: Student number:

Thesis/dissertation title:

Degree: Month and Year of first registration for this degree:

a) Have you upgraded from MSc to PhD? If so, give year of upgrade:

b) Number of years you have been registered for this degree prior to this year:

c) Do you expect to submit this year?

Yes

No

d) If you replied 'No' to c) and will exceed the expected throughput rate for the degree (2 years for Master's, 3 years for a PhD and 4 years if you upgraded from a Master's to a PhD) you need to indicate clearly the timelines you and your supervisor have agreed to allow you to complete your thesis by the end of November when your progress will be reassessed.

Supervisor

(a) Full name & surname:

Department:

Co-supervisor(s), if any:

(b) Full name & surname:

Department:

Institution:

Role and responsibilities:

Full name & surname:

Department:

Institution:

Role and responsibilities:

Appendix B

4. Funding arrangements agreed to for year ahead: (*bursaries, running costs, formal employment*)

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5. Optional (general) comment on any of the above by candidate:

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6. Response by supervisor:

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7. Ethics clearance:

I, as the supervisor of this research, hereby confirm that:

- (a) Any necessary ethical clearance required for this research has been obtained, or
- (b) Ethical clearance is not required for this research

[Tick (a) or (b) as appropriate]

Signed by:-

Candidate: **Date:**

Supervisor: **Date:**

HoD: **Date:**

I approve/refuse renewal of registration for the year ahead:

..... **(Dean/Deputy Dean) Date:**