# UNIVERSITY OF CAPE TOWN

# MEMORANDUM OF UNDERSTANDING (MOU)

**between the**

**POSTGRADUATE STUDENT AND SUPERVISOR**

# FIRST YEAR OF REGISTRATION FOR MASTER’S AND DOCTORAL STUDENTS

This document lays out the expectations of both supervisor and student, and is designed to ensure the supervision experience is mutually productive.  The MOU should be completed by postgraduate students and their supervisor(s) when the student registers for the first time for either their Master’s or Doctoral degrees. A progress and planned activity (PPA) report must be completed for each subsequent year as condition for renewal of registration.

Care should be taken in completing this MOU in full, as it is a contractual agreement. The MOU will be used in any disputes that may arise during the period a student is registered for a postgraduate degree.

**A. STUDENT AND SUPERVISOR DETAILS:**

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| **A.1** | **Personal particulars:** | | | |
| Student number: |  | | |
| First name(s): |  | | |
| Last name: |  | | |
| Contact address: |  | | |
| Email: |  | | |
| Telephone number |  | Mobile number |  |
| Department(s) |  | | |

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| **A.2** | **Degree** (Tick the appropriate degree option) |
| PhD |
| Master’s (by research); 180 credit dissertation |
| Master’s (with coursework); 120 credit dissertation |
| Master’s (with coursework); 90 credit dissertation |
| Master’s (with coursework); 60 credit dissertation |

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| **A.3** | Is this a jointly awarded or co-badged degree\*1 YES NO | |
| If YES, name the other universities involved |  |

\*1: A jointly awarded research degree means that you will be registered at two Universities for the same degree in terms of a formal contract. A co-badged degree is awarded by one institution which recognises the contributions of one or more partner institutions by co-badging. The following URL provide a reference for information on jointly awarded and co-badged degrees: <https://www.uct.ac.za/downloads/uct.ac.za/about/policies/Joint_Degrees_Policy.pdf>

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| A.4 | Word limit (Tick the appropriate word limit option) |
| I understand that the word limit for a |
| Doctoral (PhD) thesis must not be more than 80 000 words in length \*1 \*1 Students may motivate to their Dean for permission to exceed the stipulated word limit  prior to submission of their thesis. |
| I have checked my Faculty-specific requirements for the word limit for a Master’s dissertation For example |
| a Research Master’s dissertation may be 50,000 words or 90 pages |
| a Coursework Master’s dissertation may be 25,000 words or 60 pages |

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| **A.5** | **All academic qualifications to date**\*1**:**  \*1 This is important information for students registering for interdisciplinary degrees |
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| **A.6** | **Provisional thesis/dissertation title** **or area of study:** |
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| Please attach a 1-3pg provisional research proposal or statement of research interest. A final title and research proposal may need to be approved through your Faculty’s candidacy process prior to registration in the 2nd year\*1 .  \*1 Please check your specific Faculty guidelines for how the candidacy process is approved. |

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| **A.7** | **Supervisor:** | | | |
| Staff no: |  | Title: |  |
| First name(s): |  | Last name: |  |
| Telephone no(s): |  | Mobile number |  |
| Department: |  | Email: |  |

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| **A.8** | **First co-supervisor if any:** | | | |
| Staff no: |  | Title: |  |
| First name(s): |  | Last name: |  |
| Telephone no(s): |  | Mobile number |  |
| Department: |  | Email: |  |
| Institution: |  | | |

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| **A.9** | **Second co-supervisor if any:** | | | |
| Staff no: |  | Title: |  |
| First name(s): |  | Last name: |  |
| Telephone no(s): |  | Mobile number |  |
| Department: |  | Email: |  |
| Institution: |  | | |

**B. SUPERVISOR’S EXPECTATIONS AND COMMITMENTS:**

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| **B.1** | **Supervisor’s expectations:** |
| The supervisor must set out what they expect of the candidate in terms of reaching certain milestones or goals during the research for the degree. |
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| A summary of any other expectations that the supervisor has from the candidate (for example teaching in Department, attending Departmental seminars etc). |
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| **B.2** | **Supervisor’s commitments:** |
| The supervisor must set out their plans for providing supervision, including the pattern and intended frequency of meetings, and their commitment to turnaround time for written responses to work submitted by students. |
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| **B.3** | **Supervision Leave arrangements:** |
| **(a) Summarize** expected absence of supervisor(s) on research leave/sabbaticals. Explain what arrangements will be made for supervision during periods of absence, and how lines of communication will be maintained. |
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| **B.4** | **Co-Supervisory roles (if applicable):**  The role of co-supervisors should be specified. |
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**C. EXPECTATIONS AND PLANS OF THE STUDENT:**

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| **C.1** | The student must set out in detail the expectations from the supervisor(s) and the department (for example, access to supervisor and facilities, etc): |
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| The student and supervisor must set out their agreed plan and broad timetable for the research project \*1. Re-registration will be dependent on the student meeting the commitments stated below. |
| 1. Estimated timing of presentation and or submission of formal research proposal for candidacy (where applicable)\*2: 2. Literature review completed by: 3. Data collection completed by (where applicable): 4. Data analyses completed by (where applicable): 5. Submission of dissertation/thesis completed by:   (note, a student is required to get approval in the year of submission from their Faculty or the DDB, if they wish to include publications in their MSc dissertation or PhD thesis\*3)  \*1 Note that the minimum time of registration for a research Master’s is one year, and for a PhD is two years.  \*2 Note that it is a requirement for both Master’s and PhD, that the final dissertation/thesis title and supervisors, are formally accepted as part of the candidacy process, and approved by Faculty boards (Master’s) or DDB (PhD).  \*3 Guidelines for inclusion of publications in a dissertation/thesis [Inclusion of Publications](http://www.students.uct.ac.za/sites/default/files/image_tool/images/434/current/doctoral_candidates/downloads/Inclusion_of_Publications_in_Your_PhD_Thesis.pdf) |
| **C.2** | Comment by supervisor on this plan: |
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| **C.3** | Logistics: outline arrangements to support the research plan (e.g. field work, laboratory work, access to computational resources and equipment, data collection and storage, performance, interviews etc). |
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| **C.4** | Employment and teaching commitments at UCT by the student, and what mentorship/support is given to enable students to undertake these activities: |
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| **C.5** | Skills required, courses and classes:  List any lectures, workshop or course(s) that the student must attend, to enhance their research skills or knowledge. Clarify the responsibility for costs associated with these (if any). |
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| **C.6** | Student’s leave arrangement:  The student and supervisor should state their agreement below on the timing and length of the student’s leave entitlement. |
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| Student’s presence on campus:  How many days, on average, do you expect to be working on campus.  Every day **or** Days per month |

**D. FUNDING**

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| **D.1** | **Funding plans:**  Specify funding secured by the student, or financial assistance to be provided, or organized, by the supervisor(s) to support this study (e.g. bursaries, teaching allowance etc.). | |
| Has a bursary/scholarship been secured? | YES NO |
| Scholarship/bursary name (s): |  |
| Amount: |  |
| Expected disbursement dates: |  |
| Duration of bursary/scholarship, and what the requirements are for renewal (for e.g. submission of progress reports): |  |
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| If funding has not been secured, detail financial support that has been applied for (if any). | |
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| Explain how you (the student) propose to pay your fees and support your living costs for the duration of your studies: | |
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| Are there funds available for the planned research components (e.g. consumables, equipment, analyses and travel) (see C3)? | YES IN PART NO |
| If yes, specify the source of funds: |  |
| If not, or if in part, please detail how you (student and/or supervisor) propose to meet the costs associated with the proposed research: |  |
| **Please note that most bursaries require repayment if the degree is not completed.** The student is responsible for understanding the conditions of the bursary, before accepting it. | |

**E. AUTHORSHIP, INTELLECTUAL PROPERTY AND DATA MANAGEMENT ISSUES:**

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| **E.1** | **Authorship**  UCT’s guidelines are that all who contribute significantly to the conception, execution and writing-up of a paper should be listed as authors. Indicate the agreement on authorship of papers submitted for publication from this postgraduate research, including arrangements about the order of listing of all co-authors (if appropriate). The following URLs provide a reference for information on authorship practices policy.  <http://www.uct.ac.za/downloads/uct.ac.za/about/policies/authorship_practices_policy.docx>  <http://www.ebe.uct.ac.za/usr/ebe/resourses/Authorship%20practices%20policy.pdf>  Are you aware of UCT’s guidelines on authorship?  Supervisor YES NO  Student YES NO  Any additional points on authorship must be noted here by the supervisor. |
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| **E.2** | **Use of third party data**  Graduate students often use data that belongs to the University, or a research group, or a funder. If relevant, any issues relating to permission to use third party data should be noted here:  Are you aware of issues relating to permission on the use of third party data?  Supervisor YES NO  Student YES NO  Any additional points on the use of third party data must be noted below. |
|  |
| **E.3** | **UCT Intellectual Property (IP) Policy**  (a) In terms of the **UCT IP Policy**, the university owns the IP arising from postgraduate research (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. Students and supervisors have the responsibility to familiarize themselves with the terms of UCT’s IP Policy. (<https://www.uct.ac.za/downloads/uct.ac.za/about/policies/intellect_property.pdf>)  Copyright in publications is automatically assigned by UCT to the author and in particular, a student owns the copyright in their thesis or dissertation.  (b) In terms of the funding arrangement, has the intellectual property (IP) been assigned to the funder (i.e. either because the full cost model has been applied to the project, or in terms of the research contract)  YES NO  (c) 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 (b) is “No” there is an **obligation to disclose** an invention to Research Contracts and Innovation (RC&I) within 90 days of the discovery, using an Invention Disclosure Form (download from [www.rci.uct.ac.za/ip/overview/](http://www.rci.uct.ac.za/ip/overview/)). There is an obligation to maintain the invention confidential within UCT until the IP has been evaluated by RC&I to determine its ability to be protected. RC&I 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.  Have you read and understood the UCT IP Policy?  Student YES Supervisor YES  Any comments can be noted below: |
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| **E.4** | **Deferred publication options**  Funders may restrict publication of a thesis/dissertation for a defined time period. The student need to complete the appropriate form for this at time of registration  Deferred publication options that are available to students are indicated on our DDB08 (suppression form) and can be downloaded from our website: http://www.students.uct.ac.za/students/current-students/doctoral-candidates/downloads  The Library has the following guidelines relating to deferred publication of dissertation/theses on OpenUCT:  http://www.uct.ac.za/downloads/uct.ac.za/about/policies/OpenUCT\_Guidelines\_ETD%20Publication\_2016.pdf  Are you (student or supervisor) likely to apply for deferred publication? YES NO |
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**F. ETHICS IN RESEARCH AND BIOSAFETY:**

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| **F.1** | **Ethics review:** |
| (a) Does your research require ethics approval? YES NO |
| (b) Does your proposed research involve human and/or animal/plant subjects?  Human Animal Plants Not applicable |
| (c) If you require approval, have you submitted an ethics application to your Faculty Ethics Committee? YES NO |
| (d) If you answered No to (c), in consultation with your supervisor(s), please indicate when you expect to submit this form: |
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| (e) If you answered yes to (c), what is the reference for the approval of your ethics application and what date was it received from your Faculty Ethics Committee? If this is not available yet, indicate date of submission of ethics approval application. |
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| *Please note*   1. *approval is required prior to commencement of your data collection.* 2. *that a thesis/dissertation submitted without ethics clearance, obtained beforehand, will not be examined* |
| **F.2** | **Biosafety review:** |
| Confirm that you have read your Faculty rules regarding the use of potentially hazardous biological agents and that you will comply with these regulations.  YES NO NOT APPLICABLE  http://www.researchsupport.uct.ac.za/biosafety |

**G. PRESENTATION OF RESEARCH FINDINGS AND SUBMISSION OF THE THESIS/DISSERTATION:**

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| **G.1** | **UCT treats plagiarism as a disciplinary offence. Confirm that the candidate and supervisor have discussed UCT’s plagiarism policy and requirements http://www.uct.ac.za/main/about/policies**  Yes, I …………………………………………………………….. (insert student name) have read and understood my Faculty and the University’s guidelines on what constitutes plagiarism. |
| **G.2** | **Requirements for Archiving Theses and Dissertations**  Note the requirements of the UCT Open Access Policy. Link: http://www.uct.ac.za/downloads/uct.ac.za/about/policies/OpenUCT\_Policy.pdf  After examination, an approved final version of the thesis or dissertation must be submitted to UCT institutional repository (OpenUCT) as required under the UCT Open Access Policy.  I have read and understood the requirements for archiving theses or dissertations: YES |
| **G.3** | **NRF Scholarship / Bursary Holders**  The library shall provide the Electronic Thesis & Dissertation (ETD) handle/link to students who are recipients of NRF scholarships, who should then submit the handle/link and other information to the NRF at the following address: <http://www.nrf.ac.za/nrf_funded_thesis_dissertation_requirements>. This must be within a month after your graduation ceremony. Failure to comply with this requirement, could result in the scholarship/ bursary- holder being liable to refund all support provided by the NRF for the degree under which the funding was awarded.  Scholarship funded by NRF? Yes No  Any comments can be noted below: |
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**H. SOCIAL MEDIA**

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| **H.** | **Social media** |
| While UCT welcomes and encourages open discussion on social media sites, including but not limited to Facebook, Twitter, LinkedIn, YouTube pages, online story-sharing forums and blogs-  as a student, by signing this document, I accept that information posted on any of the social media platforms should not include:   * abusive, harassing, defamatory or hurtful comments about any student or member of staff * foul or threatening language or “hate speech” * material that may infringe on any patent, copyright or intellectual property |

**I. GRIEVANCE PROCEDURES** **AND COMMUNICATION CHANNEL**

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| **I.** | **Grievance procedures** |
| The supervisor(s) and candidate acknowledge by checking the boxes below, that they have read their Faculty grievances procedures and agree to follow these guidelines in the event of disputes arising from the agreement reached in this MoU.  Supervisor Yes Candidate Yes  Co-supervisor Yes  Any comments can be noted below: |
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| **Communication channel**  Are you aware of the channel to be followed if there is a supervisor/student communication break down? Yes No |

**J. APPROVAL BY ALL PARTIES INCLUDING THE HOD/ DEAN/DEAN’S NOMINEE:**

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| **J.1** | **Approval by Supervisor, Co-supervisor and student** | | | | | | | | |
| I have read and agree with this MOU. | | | | | | | | |
| Approval by supervisor Yes No | | | | | | | | |
| Comment |  | | | | | | | |
| Signature |  | | | | Date | | |  |
| Approval by co-supervisor Yes No | | | | | | | | |
| Comment |  | | | | | | | |
| Signature |  | | | | Date | | |  |
| Approval by student Yes No | | | | | | | | |
| Comment |  | | | | | | | |
| Signature |  | | | | Date | | |  |
| **J.2** | **Approval by the HOD** | | | | | | | | |
| I have seen this completed MoU and I have the following comments: | | | | | | | | |
|  | | | | | | | | |
| **Approval by HoD** Yes No | | | | | | | | |
| Signature | |  | | Date | | |  | |
| **J.3** | **Approval by the Dean/Dean’s nominee** | | | | | | | | |
| I have seen this completed MoU and I have the following comments: | | | | | | | | |
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| **Approval by Dean/Nominee** YesNo | | | | | | | | |
| Signature |  | | Date | | |  | | |

**USEFUL RESOURCES**

Guidelines for Doctoral Students

<http://www.students.uct.ac.za/students/current-students/doctoral-candidates>

<http://www.students.uct.ac.za/students/fees-funding/postgraduate-degree-funding/applications-requirements>

<http://www.uct.ac.za/main/about/policies>

<http://forms.uct.ac.za/studentforms.htm>.