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| logo - new | **University of Cape TownFaculty of Health Sciences** | **Macintosh HD 10.8:Users:michaelheld:Dropbox:MyFCOrtho - things I love reading:Study Group:FCS Ortho:uct orthopaedics logo.jpg** |

**Memorandum of understanding**

**between**

**postgraduate student and supervisor in the Division of Orthopaedic Surgery**

This memorandum of understanding between

 (name of graduate student)

 (signature)

 (date)

 (email address)

 (cellular phone number)

and

 (name of supervisor)

 (signature)

 (date)

 (email address)

 (contact number)

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

Further, it has been discussed and noted by

 (name/s of co-supervisor/s)

 (signature/s)

 (date)

and

 (name of co-supervisor)

 (signature, if available)

 (date)

(This must be completed within six months of initial registration; an annual **‘progress and planned activity’** report must be completed each subsequent year before the student renews his/her registration. Signatures on the submitted form must be original, other than if a co-supervisor is outside of UCT and thus not easily available. In such a case the co-supervisor should indicate by way of written/recordable means (e.g. email) that they have seen this MoU and are agreeable to serve as co-supervisor. This can be attached to this MoU.)

**Candidate details:**

**A1** Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Student number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**A2** Highest academic qualification: \_\_\_\_\_\_\_\_\_\_\_\_

**A3** Degree registered for: M \_\_\_\_ PhD \_\_\_\_ Year of first registration: \_\_\_\_\_\_\_\_\_\_\_

**A4** Project title and proposal: (attach proposal separately):

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**The supervision arrangements:**

*General obligations of supervisors are outlined in appendix I. By signing this document, both parties acknowledge their understanding of the general expectations it contains.*

**B1** Supervisor:

1. Initials & surname:
2. Staff no:
3. Department:

**B2** Co-supervisor(s) if any:

1. Initials & surname

Department:

Email:

Institution:

Responsibilities:

1. Initials & surname:

Department:

Email:

Institution:

Responsibilities:

**Outline of expectations and commitments[[1]](#footnote-1):**

**C1** In free format/point form provide an outline of expectations set out in as much detail as possible to the satisfaction of supervisor and candidate (use separate pages if necessary).

**Research expectations**: *(access to equipment; courses to attend; conference attendance; seminar presentations; please delete whatever is not applicable from the below)*

It is expected that by the time the candidate is engaging with their research proposal, they have successfully completed the UCT online course ‘understanding clinical research’: https://www.coursera.org/learn/clinical-research/) or similar course . They should re-familiarise themselves with aspects such asstudy designs, sample size calculations and adequate data management and data analysis plans. Candidates acknowledge the fact that plagiarism is wrong and will not be tolerated. This goes for work of others being passed off as one’s own, as well as one’s own work previously submitted for marks within the same or other degree. The candidate is reminded to re-read any of the plagiarism guidelines available through the programme’s sites or the library.

1. **Protocol phase**: After having the research proposal passed by a panel of senior researchers at the department of Orthopaedic Surgery, the candidate undertakes to produce a finished protocol in line with the provisions of the protocol template, guided by the supervisor. The supervisor and candidate will consider the financial, time and ethical scope of the project while developing the protocol, as well as any special techniques and equipment required when developing the research idea. They will bear in mind that it may take up to three months to pass a protocol through OrthoDRC -> Sx DRC -> Ethics and that applications for research funds usually have to be completed and submitted together with the protocol. Data collection will not commence before research ethics approval has been obtained and the candidate undertakes to renew ethics every year until completed.
2. **Data collection phase**: The candidate will attempt to stick to the approved timelines in the research protocol in the collection and write-up of the research. Changes or problems with the protocol need to be discussed with the supervisor and will need to be dealt with to prevent delays, whilst submitting change requests to ethics, if necessary. Students should communicate with their supervisor at the very least quarterly on their progress and will need to complete a formal progress every semester and a formal report annually.
3. **Write-up & submission phase**: Candidates must closely liaise with their supervisors to coordinate timelines and make sure submissions happen to meet graduation timelines and/ or College cut-offs. It is recommended that the candidate only submits if the supervisor(s) agree that the dissertation is ready for submission. It is recommended that enough time is left for both the candidate to thoroughly proofread the document, not just for factual correctness, but also for style, grammar, punctuation and spelling, while giving the supervisor enough time to make suggestions and recommendations (also see below).
4. **Correction phase**: Candidates are required to answer all queries and suggestions made by the examiners in a line by line fashion. It is important that all queries are addressed, to the satisfaction of the supervisor before re-submission. Be very aware of timelines. Do not forget to check all submitted documents through Turnitin. The supervisor will have to sign the summary page of the report for final submission.
5. **Publication phase**: After successfully completing and submitting all corrections, the candidate should submit the manuscript to the previously chosen journal for publication within twelve months. They must list their affiliation and that they completed their research for the degree of XXXX at UCT, as well as the affiliation of their supervisors. Should the candidate fail to submit a manuscript to a journal within this time period, they must accept that their supervisor(s) is/ are entitled to publish their data on their behalf, with the student as co-author. It is unethical not to publish the research findings, negative or positive. ……………………………………………………………………………………………….…………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………….………………………………………………………………………………………………

**Supervisor/student commitments** (*access to supervisor; annual leave for student; working hours; (co)authorship of articles):*

1. Candidates become the “principal investigator” of the research study and therefore carry the main responsibility for completion of a study. A supervisor is there to guide and assist, but not to write a research proposal and final article/ dissertation. It is only for the purposes of the research ethics application that the supervisor is listed as PI.
2. Supervisors who have assisted with the development, revision and review of the protocol and final submission become co-authors of any publication in line with the guidelines of the ICMJE.
3. Candidates are encouraged to submit their final papers for publication. Hence the first choice in format should be a literature review and article in publishable format.
4. As the whole development and write-up of the research is part of the learning process, candidates are encouraged to listen and follow the recommendations of their supervisor.
5. Supervisors will use the “Review” function in Word to activate “Track Changes” and add specific comments to the sections reviewed, as make in-line changes.
6. If there are two or more supervisors, one should pass the modified document on to another who can then add/ superimpose their comments on the document.
7. This is not an independent review as in a journal article, and supervisors should avoid leaving the student with contradictory opinions and suggestions at this stage.
8. Upon receipt, the student needs to address each comment or change made:
	1. Comments need to be addressed individually in a separate document, paying particular attention to whether the essence of the study has been captured correctly; alternatively they should comment below the comment in the original document
	2. If spelling and grammatical errors were highlighted in the text, they need to be addressed by line number.
9. All reviewed documents, queries and/ or submissions need to be forwarded to all participants, incl. secondary and tertiary supervisors, again so as to avoid duplication in the work.
10. It is the student’s responsibility to allow for enough time when it comes to submission for review of marking. In this vein, proposals should be submitted at least two weeks before the cut-off for EMDRC in that month, though generally marking may take up to four weeks. For graduation in December, a dissertation needs to be handed in by 15 August to allow for enough time in review, rewriting and marking. For a June graduation, the cut-off is 15 March.
11. Barring special circumstances, reviewers should respond to a submitted proposal with corrections, queries and comments within fourteen days of receipt from the student, unless a conference, leave or other work-related activity precludes the time frame. If that is the case, this needs to be communicated to the candidate early.
12. If there are queries from the supervisors’ side that cannot be resolved with the candidate, these should be referred to the EMDRC and/ or the Division’s Postgraduate committee.
13. If there are concerns from the candidates’ side that he/ she feels blocked, this should be referred to the DRC and/ or the Division’s Postgraduate committee.

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

Candidates are encouraged to apply to the PG Research Funding Office for support of the research projects by July of the preceding year for financial support in the following year.This requires a completed research protocol that must be adhered to. Application may be made to eligible grants before receiving Ethics Committee approval, though monies will only be paid out on receipt of final ethics approval. Only limited funding in special circumstances is available through the Division of Emergency Medicine. In particular, two hours of Statistical Support are covered. Any Support needed beyond that will be for the candidate’s own account or for the acquired research grant. …………………………………………………………………………………………………………..…………………………………………………………………………………………………………..………………………………………………………………………………………………

**Intellectual Property**

1. As the student, by signing this document, I confirm that I have read the UCT IP Policy ( [www.uct.ac.za/about/policies/](http://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 the non-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/](http://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.
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:

**Observation by Head of Department or (if appropriate) Head of Division**

I have reviewed this completed MoU and I am satisfied that the department and division (if applicable) is able to meet the obligations to the candidate as set out in this MoU:

Signed:……………………………….……………… (Head of Department)

Name:.………………………..………………………

Date:.…………………………………………………

Signed:……………………………….……………… (Head of Division)

Name:.………………………..………………………

Date:.…………………………………………………

I approve registration of the candidate in the Faculty of Health Sciences:

 Signed:………………………………………………

**Dean/Dean’s nominee**

Name:..………………………………………………

Date:……………

**UNIVERSITY OF CAPE TOWN**

**Faculty of Health Sciences**

**GUIDELINES FOR THE APPOINTMENT OF SUPERVISORS OF**

**DOCTORAL AND MASTER’S CANDIDATES**

**REQUIREMENTS**

1. Every doctoral (PhD) or master’s candidate must have a Faculty of Health Sciences approved supervisor, and may also have one or more co-supervisors *(applies also to dissertation component of course-work Master’s programmes*).

**QUALIFICATIONS OF SUPERVISORS**

1. Senate must appoint a suitably qualified person to be the supervisor. While Senate allows the possibility of the appointment of a person who himself/herself does not have a doctoral qualification, for such a person to be nominated or appointed for a PhD candidate there must be evidence of research, research supervision, and strong motivation. Having a PhD is however not sufficient proof that a person is suitable for appointment, but is an indication which with other evidence may be conclusive.

**SUPERVISORS AND CO-SUPERVISOR(S)**

1. In many cases one or more co-supervisor may be appointed on the advice of the Faculty concerned to direct the work of an Master’s or PhD candidate. The policy of the Faculty of Health Sciences is that every Master’s or PhD candidate must have a UCT supervisor. He/she may also have a co-supervisor, or more than one, and the co-supervisor(s) may be external.

Where a supervisor has left UCT but is willing to continue to supervise, he or she may be appointed as co-supervisor and a supervisor who is internal to UCT must be appointed.

1. An Emeritus Professor may to continue as supervisor after retirement where the Emeritus Professor has a continuing formal relationship with UCT.
2. The role of each co-supervisor must be clearly demarcated at the outset of the research programme and the candidate must be fully informed about the respective roles of the supervisor and any co-supervisor(s).

**RESPONSIBILITIES OF SUPERVISORS**

1. The supervisor must have demonstrated an interest and expertise in the field of the candidate's research. The supervisor must not undertake to supervise students in fields or on topics in which he/she has no expertise or interest.
2. **The supervisor must recognise that accepting a research student involves a commitment to see a project through to completion within the Faculty's normal time parameters (3 years for Master’s ; 4 years for PhD).**
3. The supervisor must be a member of the University staff. *(Note: A modest honorarium is payable to co-supervisors who are not members of UCT staff.)*
4. In the absence of a supervisor for a substantial period, adequate provision must be made by the Head of Department for continuing supervision, if necessary by appointing an acting supervisor.
5. The supervisor must be familiar with the rules governing the degree, and must be able to advise the candidate in matters relating to the rules.
6. The supervisor(s) must, during the initial stages of the student’s tenure in the Department, discuss the principles with respect to authorship of publications emanating from the work the student is to be involved in. In particular, the student’s and supervisor’s expectations with respect to the potential order of authorship must be discussed openly. The principle that the order of authorship should be decided according to the relative contribution of each potential author and that this should be a joint decision of all the authors, must be considered.
7. If the candidate is not writing in his/her home language, the supervisor must assess at an **early stage** whether any special assistance (which cannot be provided as part of normal supervision) might be needed and make the necessary arrangements with the department or other appropriate bodies.
8. The supervisor must ensure that candidates for research projects are fully aware of the UCT Code of Ethics for researchers and where necessary obtain any ethical clearance required.
9. The supervisor must not permit a student to work on a project if any doubt exists about the availability of adequate material, records or equipment.
10. The supervisor should assist the candidate by:
11. advising candidates on drawing up a schedule which details the completion dates of different stages of the project;
12. assisting with the management of this schedule;
13. providing information relating to relevant literature and sources;
14. putting the candidate in touch with researchers working in related fields;
15. discussing and critically evaluating the candidate's findings and ideas;
16. promptly reading, criticising and annotating draft chapters;
17. advising the candidate on the form and structure of the thesis;
18. ensuring that the candidate is (or becomes) familiar with, and observes one of the internationally recognised guides to scholarly convention, presentation, documentation of sources and the like;
19. referring the candidate to approved style manuals;
20. ensuring that the candidate is aware that **plagiarism** is a serious offence that will be dealt with in terms of the University disciplinary rules, and that the University has effective means of detecting plagiarism, especially that arising from the use of the internet and other electronic sources.
21. The supervisor must not attempt to impose his/her own stamp, theoretical or stylistic, on the candidate's work.
22. The supervisor and candidate must meet sufficiently frequently to ensure that progress is not slowed down for want of constructive advice and criticism.
23. The supervisor must insist on seeing drafts of major sections of the thesis (or extended essay) as it is written. The supervisor must respond as quickly as possible to the written submissions of the students.
24. Although a candidate may submit for examination without the approval of the supervisor, the supervisor must see a complete draft before submission.
25. Towards the end of each academic year, the supervisor must report to the relevant Faculty Board on the progress of each student (via the ‘Progress and Planned Activity report form) and make recommendations regarding re-registration the following year.
1. Please add any additional arrangements between supervisor and candidate below the already completed pro-forma. If there is more than one supervisor, the share of the work, as well as who takes the lead should be specified in this document. [↑](#footnote-ref-1)