

Department of Paediatrics and Child Health Research Committee Guidelines for PhD registration and submission – 1 Dec 2015

1. THE FORMS YOU WILL NEED

1.1 Postgraduate Forms

Form **D1**, **D2 (a)(b)**, **D3**, **D4** and **DDB09**, are available from <http://www.health.uct.ac.za/fhs/departments/cls/research>

They are also available from Geanine Hopley; or from FHS postgraduate office; or from Vula at the Health Sci Post Grad group. - Contact Adri Winkler on Adri.Winckler@uct.ac.za to be invited to this group and for FHS postgraduate queries.

1.2 Finance Forms

<http://www.health.uct.ac.za/fhs/research/finance/forms>

1.3 Ethics application forms

<http://www.health.uct.ac.za/fhs/research/humanethics/forms>

1.4 Doctoral Degrees Board (DDB) Forms

<http://www.uct.ac.za/students/candidates/downloads/>

2. APPLICATION/REGISTRATION PROCESS

2.1 The following will usually be required for registration:

- a) CV
- b) Transcript of results
- c) Summary of Masters degree (for PhD registration)
- d) Contact details of two referees
- e) Outline area of research interest
- f) Planned start date
- g) Source of funding
- h) Name/s of agreed supervisor/s

Direct all post-graduate research project queries to supervisor or HOD and direct all registration application enquiries to FHS postgraduate office.

2.2 Registration as a post-graduate student

Contact a prospective Departmental supervisor or HOD to obtain their commitment before registration as a post-graduate student with the UCT Faculty of Health Sciences.

Applicable course codes include: Doctor of Philosophy (MD001) Paediatrics (MD001PED11).

2.3 Appointment of supervisor

Submit the following to FHS postgraduate office:

- a) Supervisor appointment: **Form D3** (on it's own, or as part of **Form D1**)
- b) Memorandum of understanding with supervisor: **Form D2 (a)**

2.4 Preparing for Postgraduate research project

Check your registration with the FHS postgraduate office *before* beginning your research project. Must be registered before postgraduate research project can begin.

2.4.1 Write a research proposal & synopsis

- a) Write research proposal according to structure in **Form FHS015** (consult **FHS015hlp**)
- b) Write synopsis according to structure in **Form FHS014**

Forms available from: <http://www.health.uct.ac.za/fhs/research/humanethics/forms>

2.4.2 Obtain Departmental Research Committee (DRC) approval

Submit the following application pack to DRC, for approval:

- a) Proposal
- b) Synopsis
- c) Form FHS 013 (HREC new protocol application form)
- d) Cover letter addressed to DRC (Include names of two suggested reviewers)

**Please note that Form FHS002 (C1 Clearance form) no longer requires DRC signature; the researcher now submits an electronic form directly to Faculty Finance – see link below for submission process:*

http://www.health.uct.ac.za/usr/health/research/downloads/C1form_ver8.pdf

***Please also refer to addendum to see when to submit Form FHS002 (C1 Clearance form)*

2.4.3 Obtain Human Research Ethics Committee (HREC) approval

Following approval by DRC, submit the above application pack, including approval letter of DRC, to HREC. Submit under **Category 2** for **expedited review**.

Deliver forms to Lamees Emjedi (Lamees.Emjedi@uct.ac.za) in E52 Old Main Building, Groote Schuur Hospital. HREC sit monthly and approval usually takes between 4 – 8 weeks, depending on issues that arise.

HREC issues a letter granting ethics approval with a unique reference number that must be quoted in future correspondence.

2.4.4 Obtain approval from Hospital Administration and/or regional DoH (if applicable)

<http://www.westerncape.gov.za/general-publication/health-research-approval-process>

2.4.5 Obtain approval of research proposal by Doctoral Degrees Board (DDB)

Following HREC approval, submit the following to Adri Winckler

(Adri.Winckler@uct.ac.za) at the postgraduate office, for approval by the DDB Chair:

- a) HREC approval letter
- b) Form D1 + D3 (Approval of study proposal form)
- c) HREC approved research protocol

Forms available from: <http://www.health.uct.ac.za/fhs/departments/cls/research>

Submission must be made prior to commencement of research and not later than 6-months after registration.

3. WRITING THE RESEARCH PROJECT

3.1. Annual progress and HREC approval

3.1.1. Annual HREC approval

For annual HREC approval you will need to submit one of the following to HREC: **Form FHS016** (for intervention study) or **FHS017** (for record review) or submit a study closure form, **FHS010**, if the study is complete.

3.1.2. Annual progress approval and re-registration

Complete **Form D2 (b)** and submit to HOD by the end of October every year.

3.2 Dissertation

Write dissertation according to FHS Handbook guidelines and structure in **Form D4**.

Please note: There is an upper limit of 80 000 words on the main text of your thesis. Any request to exceed this limit must be discussed with the supervisor. Final approval must be obtained from the Dean and the Doctoral Degrees Board before you submit.

For those doing degree by publication please refer to following form: **Guidelines for the Inclusion of Publications in a Doctoral Thesis**. Available from: http://www.uct.ac.za/downloads/uct.ac.za/currentstud/doctoral_candidates/Guideline_sfortheinclusionofpublicationsinadoctoralthesis2013.doc

NB: Provide supervisor with copies of all application forms and approval letters throughout!

4. SUBMITTING THE RESEARCH PROJECT

You **must be registered** in order to submit your thesis!

Please note: Submission process via an electronic system. The University has made it possible for candidates to upload electronic versions of theses online via the **PeopleSoft Student Administration Self-Service** functionality. This will mean that hard copies of intention to submit forms and dissertations/theses no longer need to be physically deposited (unless specifically requested by an examiner); you as the candidate may upload your work for examination from any digitally-connected destination. At the conclusion of your research, you will be able to complete and upload your intention to submit form on *PeopleSoft*, followed by the upload of your thesis. All communication from university regarding the examination process will occur via e-mail.

Login to the PeopleSoft Student Administration Self Service: www.uct.ac.za > Current Students > Postgraduates > Postgraduate & postdoctoral studies hub > PeopleSoft login

- Enter User ID in UPPER CASE
- Your Password is your regular network password

Should you have any technical issues with the PeopleSoft system, please contact Student Systems Support at sss-helpdesk@uct.ac.za

4.1 Submission dates

Submission dates may change each year. Please refer to the Fees Handbook <http://www.uct.ac.za/usr/finance/fees/fees2015.pdf> for fee deadline dates. Kindly note that the University does not undertake to reach a decision on the award of the Doctoral Degree by any specific date.

a) June Graduation

Notice of intent to submit form must reach the DDB Office by 10 January & thesis to be uploaded by 12h00 on the first day of the new academic year.

b) December Graduation

Notice of intent to submit must reach the DDB Office by 20 June & thesis to be uploaded by 15 August.

4.2 Naming conventions for abstract, thesis & library copy files

a) **Thesis.pdf** - upload your thesis/dissertation document in a single PDF file format (publication of this will be deferred if an embargo has been approved).

b) **Abstract-open.pdf** - this must be attached to all Library Upload Service Requests and will be published immediately upon Graduation regardless of any embargo. All students must upload this type of abstract.

c) **Abstract-Restricted.pdf** - this must be attached to any Library Upload Service Request where the abstract contains confidential information. It must not be published by the library until the embargo is lifted. Only students with a pre-approved suppression form will upload this type of abstract in addition to the Abstract-open.pdf

4.3 Notice of Intent to Submit form

The candidate must upload a **DDB09** (Notice of intention to submit PhD thesis) and Abstract. This form must be signed off by the candidate & the candidate's supervisor. Students in the Health Sciences faculty must upload the **DDB09** (Notice of intention to submit PhD thesis), **DDB10** (PhD IP Assessment Form) and Abstract.

4.3.1. Giving notice of intention to submit thesis for examination:

- Log in to the [PeopleSoft Student Administration Self Service](#)
- Click on 'Self-service'
- Navigate to 'Research Activities'
- Go to 'Service Requests'
- Select 'Create New Request'
- Select the request category of 'Thesis related requests'
- Select request type 'Intention to submit' - PhD
- Upload 'Intention to submit' form **and** Abstract as separate PDF documents
- Click 'View' to see what you have uploaded and confirm that all is in order (In the Comments section, you may add additional notes, but this may be left blank)

- Click 'Submit'.

4.3.2 Acknowledgement of receipt

Once your form has been submitted and processed, you will receive an acknowledgement of receipt via e-mail. You may also log onto the PeopleSoft Student Administration Self Service to check the status of your service request. On receipt of this form the DDB Office will send an acknowledgement of receipt to the candidate, the supervisor (to appoint potential examiners) & to the relevant faculty. This acknowledgement will contain the General Rules & Policies Handbook <http://www.uct.ac.za/students/candidates/downloads/> & information regarding the format of the submission of a PhD thesis.

4.4 Thesis Submission with Turnitin report, Declaration and Word Count Forms

4.4.1 The candidate must upload the following to the DDB Office via PeopleSoft:

- 1 electronic PDF copy of the thesis
- DDB11** – declaration/submission form (*The date that you have uploaded your submission must be reflected on this form. If the date is incorrect it will be rejected.*)
- Summary of the Turnitin Originality Report (the first pages of the report with the percentages up to the title of your actual thesis). Please contact the VULA helpdesk for assistance help@vula.uct.ac.za / 021-650- 5500. Your supervisor should sign these pages with a comment that he/she is happy that the thesis is your original work and comment if needed, on the percentage of non-original work. 25% or more is a concern.

4.4.2 Uploading the thesis for examination:

- Log in to the [PeopleSoft Student Administration Self Service](#) Click on 'Self-service'
- Navigate to 'Research Activities'
- Go to 'Service Requests'
- Select 'Create New Request'
- Select the request category of 'Thesis/ Dissertation related requests'
- Select request type 'Upload Thesis/ Dissertation for Examination'
- Select request subtype - PhD
- Upload your thesis and supporting documents for examination:
 - Click the 'Add Attachment' button and upload thesis/dissertation for examination (i.e. Thesis.pdf)
 - Click the 'Add' button and upload your thesis/dissertation Abstract-open.pdf
 - Click the 'Add' button and upload your thesis/dissertation Abstract-Restricted.pdf (if applicable)
 - Click the 'Add' button and upload your OpenUCT suppression form (if applicable)
 - Click the 'Add' button and upload your word count form
 - Click the 'Add' button and upload your submission declaration form
 - Click the 'Add' button and upload your Turnitin Originality report
 - Click the 'Add' button and upload your signed plagiarism declaration
- Click 'View' to see what you have uploaded and confirm that the correct file will be submitted

- Type the following confirmation statement in the comment box: **“I confirm that the uploaded document is the thesis to be examined.”**

4.4.3 Acknowledgement of receipt

On receipt of the PhD thesis the DDB Office will send an acknowledgement of receipt to the candidate.

5. EXAMINATION PROCESS

External Examiners are appointed & approved by the candidate’s Faculty Higher Degrees Committee (known as the Committee of Assessors) & the Chair of the DDB. It is the policy of the DDB not to reveal the names of the examiners to candidates during the examination process of a PhD thesis.

5.1. External examiners

- The DDB Office then formally invites the examiners to examine a PhD thesis.
- If the examiner accepts the invitation, the DDB Office then sends the thesis to each examiner.
- Examiners are given 6 weeks to examine from the date of acknowledging receipt of a PhD thesis.
- Examiners are required to submit a report & recommendation on the PhD thesis & have the option, of whether or not they wish to be identified.

One of the following recommendations can be made by an examiner:

Category A: Candidate should be awarded the degree and no corrections need to be made to the thesis, with the exception of minor typographical errors only.

Category B: Candidate should be awarded the degree subject to specified changes being made to the thesis to the satisfaction of the DDB.

Category C: Although the thesis does not meet the required standard, the candidate should be invited to revise and resubmit thesis for re-examination.

Category D: The degree should not be awarded.

5.2 External examiners reports

- When all the examiners’ reports are received, the DDB Office will send the reports to the relevant Faculty for consideration & recommendation by the CoA.
- The Chair of the CoA will sign off the CoA recommendation & send it to the DDB Office.
- The DDB Office then sends the recommendation to the Chair of the DDB for approval.

5.3 Examination results

- Once the Chair of the DDB approves the CoA’s recommendation, the DDB will notify the student of the examination result via email.
- If the candidate is awarded **Category A** - he/she has minor corrections & is awarded the PhD degree.

- If the candidate is awarded **Category B** - he/she is required to submit a list of changes/corrections made to the thesis to the satisfaction of the supervisor who should certify this to the Chair of the CoA. The approved list of corrections will be sent to the Chair of the DDB for approval. Once approved by the Chair of the DDB, the DDB Office will notify the candidate.
- If the candidate is awarded **Category C** - he/she is required to re-register with their faculty & to revise & resubmit their PhD thesis, within 1 year to the DDB Office.
- If the candidate is awarded **Category D** - he/she has failed & will not be awarded the PhD degree.

6. LIBRARY COPY OF PhD THESIS IS A REQUIREMENT FOR GRADUATIONS

The candidate is required to upload the following (prior to graduation) to the DDB Office for UCT's Library:

- a) 1 electronic PDF copy of the corrected thesis
 - b) Abstract
- Log in to the [PeopleSoft Student Administration Self Service](#)
 - Click on 'Self-service'
 - Navigate to the 'Research Activities' section
 - Go to 'Service Requests'
 - Select 'Create New Request'
 - Select the request category of 'Thesis/ Dissertation related requests'
 - Choose request type 'Library Copy –upload final Thesis/Dissertation for Library'
 - Choose the request subtype - PhD and faculty
 - Upload final corrected copy of thesis/dissertation for library
 - Click 'View' and see what you have uploaded to confirm that the correct file will be submitted.
 - Once your dissertation/ thesis has been submitted and processed, you will receive an acknowledgement of receipt and will be asked to:
 - Confirm that the loaded thesis/dissertation is the corrected version

7. USEFUL LINKS AND DOCUMENTS

7.1 FHS Handbook

<http://www.uct.ac.za/downloads/uct.ac.za/apply/handbooks/Handbook 8B Health Sciences Postgraduate Studies2015.pdf>

7.2 Research contracts and intellectual property services:

Information available at: <http://www.rcips.uct.ac.za/rcips/ip/postgradsip>

7.3 Other

The following documents are available for your information on the DDB website:

<http://www.uct.ac.za/students/candidates/downloads/>

- Student Guide for the Online Submission of PhD thesis
- General Rules for the Degree of Doctor of Philosophy (PhD)
- Procedures for the Doctoral Degrees Board
- Guidelines for the Information and Use of PhD Candidates and Supervisors
- Guidelines for Procedures for Approval of a PhD Proposal
- Notice of Intention to Submit a PhD Thesis (DDB09 form)
- IP assessment form for EBE, Health Sciences & Science (DDB10 form)
- Guidelines for Abstracts for PhD Theses
- Publications, Copyright and your PhD Thesis
- Submission of your PhD Thesis to the Doctoral Degrees Board (DDB11 declaration and word count form)
- Guidelines for the Inclusion of Publications in a Doctoral Thesis
- Student Guide on Avoiding Plagiarism

ADDENDUM

WHEN UCT RESEARCHERS DO, AND DO NOT, NEED TO SUBMIT A FACULTY OF HEALTH SCIENCES C1 FORM (FHS002)

TYPE OF APPLICATION	NEED TO SUBMIT C1?
New application	
International funder (e.g. NIH, Wellcome Trust, EU)	Yes
South African Medical Research Council (MRC)	Yes, except for self-initiated grant proposals
National Research Foundation (NRF)	No
Internal UCT funding (e.g. URC, FRC)	No
Grants submitted/administered through other institutions	If UCT is claiming budget , then yes
Renewal, amended or extended application	
Renewal grant application	Yes (where yes for the original application)
Amendment or extension to grant	If there is a change to the budget or protocol then yes (where yes for original application)
Fellowships & studentships	
Postdoctoral & early-career fellowships to external funder	Yes, except for MRC and NRF
UCT fellowships	No
Postgraduate studentships to external funder	Yes, but only where funds are provided for the project in addition to the person (note, for studentships the PI named on the C1 form must be the supervisor)
UCT postgraduate studentships/scholarships	No
<p>If in doubt, ask yourself: will what I am submitting pose any potential risk to UCT, whether in terms of resource use, research ethics, health & safety, and finances? If the answer is yes, then complete a C1 form.</p>	