DOCTORAL PROGRAMME IN PUBLIC MANAGEMENT AND DEVELOPMENT PLANNING

GUIDELINES FOR DRAFTING OF RESEARCH PROPOSAL

Although the format of a research proposal must reflect what is required by each specific discipline, there is a certain structure or logic that characterises all research proposals. Here are some of the standard components that should be included.

GENERIC FORMAT FOR RESEARCH PROPOSAL:
- Working title
- Background/rationale/motivation
- Preliminary literature review/study (that identifies the knowledge field within which the study is located)
- Research problem and objectives/research questions
- Research design
- Research methodology/methods
- Timeframe
- Outline of chapters
- References

PhD study represents the most advanced level of university study and only prospective students clearly demonstrating their research and writing abilities in the proposal can be admitted. The proposal must therefore be advanced enough in its argument to clearly demonstrate authoritative theorising, advanced understanding of research design and methodology and the ability to make a new contribution to the field of public management and development planning, public leadership or sustainable development.

This is a guide to aid students with the structuring and preparation of an acceptable proposal.

ELEMENTS OF A RESEARCH PROPOSAL[1]

Motivation for or rationale of the study: Indicate what the general aims of the study are and give reasons for studying this particular phenomenon.

Why have you decided to embark on a study of this topic? What are the reasons for doing this research? Does it aim to fill a gap in the literature? Do you wish to address a very practical and urgent problem in society (e.g. unemployment) or in your company (e.g. effects of retrenchment on staff morale)?

Motivate the importance of the study, and indicate any original contribution that can be made to existing knowledge about the subject.

Preliminary literature review: Provide evidence that you have done some preliminary reading on the topic, show how you developed your initial idea and provide information on the theoretical literature on the topic.

What have you established about your research problem from a preliminary review of the literature? What have other scholars written about the topic? What theories address it and what do they say? What research has been done previously? Are there consistent findings, or do past studies disagree? Has your literature review clearly defined the parameters of the knowledge field within which your study is located (e.g. public sector management, community-based development or sustainable resource management)?

Research problem and objectives: Give a clear statement of the unit of analysis and the research objectives.

What exactly do you want to study? What is the unit of analysis? Do you wish to explore new terrain or describe existing phenomena in more detail? The aim may also be to evaluate an existing programme and conduct a needs-assessment study for the development of a new intervention. Does the proposed study have practical significance? Does it contribute to the construction of social theory, for example?

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[1] Extract adapted from the following sources:

Babbie, E. & Mouton, J. 2001. *The practice of social research.* South African edition. Cape Town: Oxford University Press.

Mouton, J. 2001. *How to succeed in your master's and doctoral studies: A South African guide and resource book*. Cape Town: Van Schaik.

Research problem: A problem statement defines a specific problem that your research will need to address. For example, 'Low skill levels is a major cause of unemployment' identifies the low skill levels of potential workers as the key problem. Your research objective then becomes the need to demonstrate the causal link between low skill levels and unemployment by, for example, demonstrating through the use of surveys that employers cannot find people with the appropriate set of skills. The research problem/research objective approach is the most common approach.

The problem statement can be formulated as a research question *or* hypothesis. In general, if you have a clear problem statement, a clear set of research objectives will suffice. It is not necessary to then also have a set of research questions.

Research question: A problem statement can be formulated as a question or questions about the phenomena you want to investigate through research. In other words, if a specific problem statement is not applicable, a guiding research question or set of research questions is acceptable (often based on inductive scientific reasoning). For example, instead of identifying the low skill levels of unemployed people in a particular community, you may want to ask guiding research questions about how unemployed people within a particular community perceive, cope with and react to their socio-economic condition. They may or may not think they are unemployed because they have a low level of skill.

Research hypothesis: A tentative assumption about the relationships between two or more variables that need to be examined (based on deductive or retroductive scientific reasoning). In this case, you may want to test – using research – a particular statement about what the solution to unemployment may be. For example, your hypothesis may be: 'Skills training reduces unemployment'. Your research may then be to examine whether the graduates of a range of training programmes found jobs or not.

Research objectives: Linked to your research question or hypothesis, there must be specific things that you need to investigate in order for you to answer the research question or prove or disprove the hypothesis. Usually, the research objectives provide an indication of the structure of the dissertation

Research design: Indicate what design will be followed and what possible challenges or limitations in the design will require your attention.

What type of study will you conduct to address the research problem as you have formulated it? What kind of design will produce the evidence or data that you need to answer your research question? Consider the value of a purely quantitative, qualitative, mixed-method or transdisciplinary research design, but be guided by the problem or research questions you have identified.

Typology of research design types:
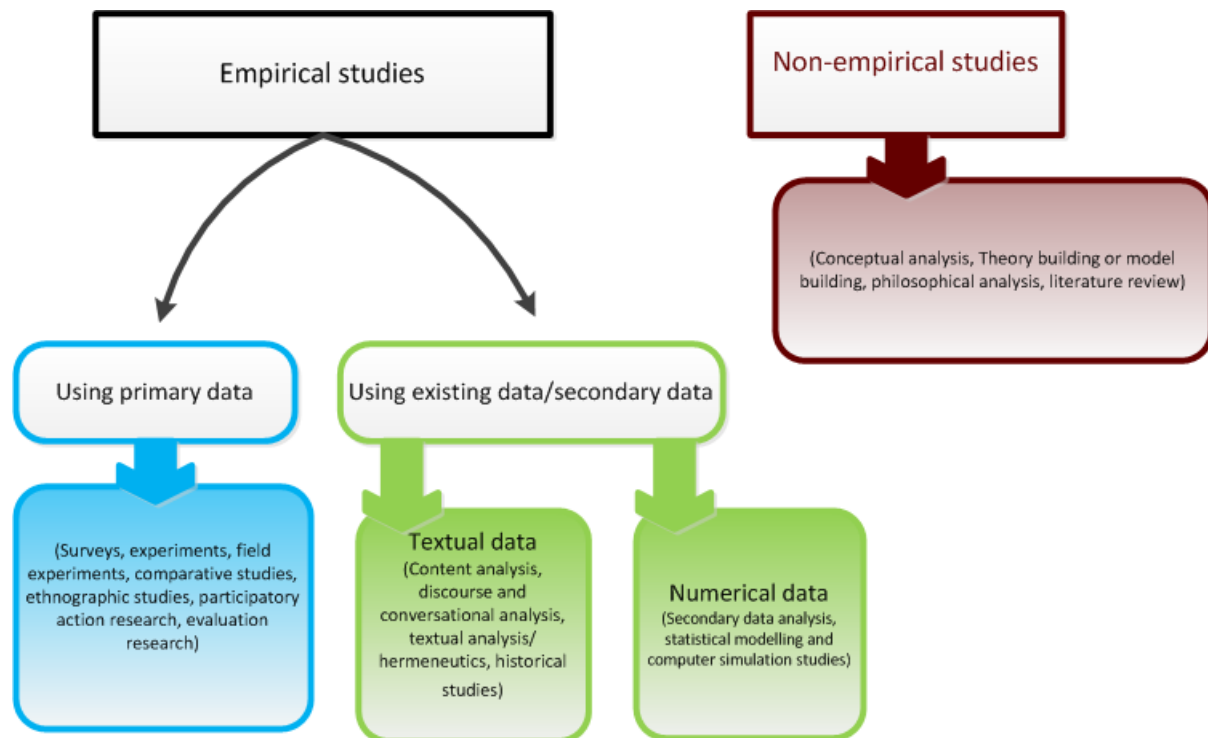
Research methodology: The research process; includes issues such as sampling or selection of cases; measurement; data collection, analysis and interpretation.

Subject for study: Whom or what will you study in order to collect data or obtain information? Identify the subjects in general terms (type, location, category) and in specific, more concrete terms (identify who is available for study and how you will reach them). Will it be appropriate to select a sample? If so, how would you do that? If there is any possibility that your research will affect those you study, how would you ensure that the research does not harm them?

Conceptualisation and measurement (where applicable): What are the key variables in your study? How will you define and measure them? Do your definitions and measurement method duplicate (incidentally, this is acceptable) or differ from those of previous research topics? If you have already developed your measurement device (a questionnaire, for

example) or will be using something previously developed by others, it may be appropriate to include a copy in an appendix to your proposal. How do you ensure reliability and validity in terms of the instruments you have chosen?

Data collection: How will you actually collect the data for your study? Will you conduct interviews or use structured questionnaires? Who do you want to talk to? How are you going to select them? How many respondents do you foresee? Why do you want to talk to those specific individuals? What do you want to ask them? Can you get the information you want from other easier or cheaper sources? Will you undertake collecting your own data or will you undertake a re-analysis of statistics already produced by others? (Perhaps you will use more than one method.) What is the value of triangulation and how would you go about this in especially mixed-method design studies?

Analysis: Indicate the kind of analysis you plan to conduct. Spell out the purpose and logic of your analysis. Are you interested in precise descriptions? Do you intend to explain why things are the way they are (system known), how they should be (target knowledge), or how they can change (transformation knowledge)? Do you plan to account for variations in some quality: for example, why some students are more liberal than others? What possible explanatory variables will your analysis consider, and how will you know whether you have explained variations adequately? Clearly unpack the analytical framework you will follow in your study.

Timeframe: This is to help you plan and structure you research project more concretely and requires a more disciplined approach to research. It is often appropriate to provide a schedule for the various stages of the research. This will help the admission committee and eventual supervisor to set aside time during the lifecycle of the study.

Chapter outline: This is to help you clarify your thinking in terms of what you plan on writing in each subsequent chapter of your dissertation. A generic chapter outline is normally structured as follows, but the nature of the research will determine a more specific layout:

Chapter 1: Introduction: Largely the contents of the research proposal without the literature review. Developing the idea for the dissertation and motivating the study; deriving the research topic from preliminary reading; identifying and articulating the research problem,

question or hypothesis; theoretical underpinning (e.g. policy analysis, organisational science or sustainable development); general indication of research design and methodology; and an outline of the remainder of the dissertation.

Chapter 2: Academic literature review/Theoretical framework (this should be divided into more than one chapter where required). This is to summarise the current state of knowledge of the issues concerned.

Chapter 3: Policy and regulatory framework, where relevant: Summary of applicable frameworks.

Chapter 4: Case studies, where relevant: describing and explaining case studies. This chapter explains the study locus in detail.

Chapter 5: Research design and methodology (detail operational instructions). This chapter documents the design and methodology you used in your fieldwork. ***This chapter is only included if you have followed a complex methodology that needs more expansion, for example a survey.***

In this chapter you should document the following: problem statement, research questions or hypothesis, conceptualisation, definitions, key variables, issues of measurement, sample design and sampling methods, data-collection methods and fieldwork practice, data capturing and data editing, data analysis and shortcomings and sources of error.

Chapter 6: Presenting and interpreting your results. This could be done in one or more chapters depending on the complexity of the data gathered.

Chapter 7: Conclusions and recommendations: Summarise and discuss salient points, interpret results in terms of the literature or theory, discuss gaps, anomalies and/or deviations in the data, make large significance of the results explicit and make policy or other recommendations.

For the research proposal, students must submit a chapter outline, not only providing generic headings, but also with content and subheadings outlining the structure to be followed in the dissertation.

List of references: One single alphabetical list of all references cited in the text, containing in all cases full bibliographic details: author; date; title; publication; volume and issue of

journal, where applicable; pages of journal article, where applicable; publisher; city; as well as full details of internet report author; title; URL of internet site and date on which internet site was accessed. We prescribe the use of the Harvard referencing system.

The length of the research proposal should be at least 10 to 15 single-spaced typed pages for a doctoral student and you should have at least 100 references in your reference list.

NB: Additional to the research proposal, a full CV containing inter alia full contact particulars (telephone, mobile phone, postal address and especially a reliable e-mail address) is required.

POSSIBLE PITFALLS

- Make sure that your research idea, question or problem is very clearly stated, persuasive and addresses a demonstrable gap in the existing literature. Put time into formulating the problem statement, research questions or hypothesis – in the early stages of a research project this is critical.

- Make sure that there is a staff member, from the panel, in your subject area and available to supervise your project.

- Make sure that your proposal is well structured. Poorly designed, incoherent or longwinded proposals indicate that the proposed research may be doomed.

- Ensure that the scope of your project is reasonable, and remember that there are significant limits to the size and complexity of a project that can be completed and written up in three years. Proposals will not only be assessed based on intellectual ambition and significance, but also on the likelihood that the candidate can complete this research project.

RESEARCH MODE

Doctoral study can be undertaken on either a full-time or a part-time basis. The basic period of residence for the degree is as follows:

- Minimum two years, to be completed within three years.

Students who do not complete their study within the prescribed periods will have to apply formally for re-admission.

RESEARCH RESPONSIBILITIES OF DOCTORAL STUDENTS

In addition to student responsibilities contained in Part 1 of the Stellenbosch University Calendar (Annexure 1), the School of Public Leadership requires that doctoral students:

- follow an even-handed and objective approach to data analysis and avoid terminology and assessments that indicate ideological bias in their research, that obscures what is going on or results in selective treatment of the evidence;

- diligently ensure that all documents submitted have been thoroughly edited for spelling and grammatical errors, and that all sources contained in reference lists are fully cross-referenced in an appropriate manner in the text of the document concerned, and especially that the title page corresponds to the specifications stated in the Calendar, Part 1;

- draft a clear, concise and systematic research proposal setting out the intended project in accordance with the above requirements;

- on request, make a presentation to an admissions committee to motivate their planned research as outlined in the submitted research proposal;

- ensure compliance with all administrative requirements concerning registration and class fees;

- do independent, supervised research about the content needed for expanding the approved research report structure;

- initiate regular contact with the allocated supervisor about their progress by submitting completed chapters for assessment as agreed with the supervisor concerned;

- ensure that when the final document is submitted for approval to the supervisors, a Turnitin plagiarism report and proof that the document was edited by a language

expert are submitted. (The dissertation will not be sent for examination if students do not comply with these two requirements and if the plagiarism report is not green. Students should submit their final dissertation on the following Learn module: Public and Development Management 978: http://learn.sun.ac.za (see Annexure 2 for the SU plagiarism guidelines and an explanation of the Turnitin report system.);

- timeously submit enough examinable copies of the dissertation for all the examiners before 1 September for graduation in December and before 1 November for graduation in March the following year(see Annexure 5 for an example of the title page);

- submit an electronic copy on **SUNScholar**, before the set deadline determined for graduation ceremonies, of the final manuscript of the dissertation, certified by the supervisor as correct. (For more detail on the procedures and correct format please visit: http://library.sun.ac.za/English/howdoi/Pages/Submit-my-thesis-online.aspx); and

- confirm personally the examination results and the date and time of the relevant graduation ceremony.

STELLENBOSCH UNIVERSITY

CODE OF CONDUCT FOR THE RELATIONSHIP BETWEEN SUPERVISOR AND RESEARCH-BASED POSTGRADUATE STUDENT

The following set of guidelines is proposed as a code of conduct for ensuring that the nature of the relationship between the supervisor and the research-based postgraduate student is conducive to successful postgraduate studies at SU:

1. The candidate (with the necessary input from the supervisor) undertakes to remain up to date with regard to the infrastructure and related rules of the specific department.

2. SU undertakes not to select a student for a specific project unless the faculty gives prior written confirmation that the project can be undertaken. Responsibility with regard to the required funding and applicable infrastructure will be indicated specifically.

3. The candidate, with the help of the supervisor, will acquaint him- or herself with the guidelines for keeping a record of research according to what is generally acceptable within the relevant discipline.

4. The candidate confirms that he or she has the necessary computer skills to satisfactorily complete the project.

5. The necessary preparatory study as required by SU should be completed within an agreed period of time.

6. A work programme must be compiled for the candidate, in collaboration with the supervisor, within a reasonable period of time after the start of the project (usually not exceeding 60 days). This programme must indicate target dates, for example for the submission of a project protocol, the completion of a literary survey, the completion of specific chapters and the submission of progress reports. Times of absence (study leave, university vacations, etc.) must also be noted.

7. Appointments between the candidate and the supervisor must be arranged to take place at regular and predetermined times during the academic year.

8. Written feedback regarding the progress of studies must be given annually to the departmental chairperson, postgraduate coordinator or dean by the supervisor.

9. The supervisor must comment on and return all submitted work to the candidate within a reasonable period of time, not exceeding 60 days for a full dissertation.

10. When the project nears completion, the candidate must make the necessary submissions according to the specific requirements for graduation within the specific discipline. (There must be specific reference to the SU calendar, as set out in *General Prospectus Part 1*, to ensure that there is sufficient time for the rounding off and examination of the dissertation with the different graduation ceremonies in December and March of each year in mind.)

11. The candidate undertakes, as agreed upon with the supervisor, to deliver the relevant outputs (e.g. publications, patents, academic papers). The candidate must acquaint him- or herself with the conventions regarding authorship that are relevant to the specific discipline.

12. Where applicable, the candidate and supervisor must acquaint themselves with the regulations applicable to intellectual property within the relevant environment.

RESPONSIBILITIES OF THE SUPERVISOR

1. To be acquainted with procedures and regulations
2. To establish a stimulating research environment
3. To establish a relationship between him- or herself and the student
4. To advise on the choice of project and planning
5. To discuss issues related to intellectual property and publishing
6. To ensure that appropriate facilities are available
7. To provide training in research
8. To consult with the student, continuously monitor progress and provide structured feedback
9. To remain aware of the student's situation and needs
10. To arrange for guidance during periods of absence.

RESPONSIBILITIES OF THE STUDENT

1. To be familiar with SU's regulations regarding postgraduate study and to adhere to such regulations
2. To undertake research with commitment
3. To develop initiative and independence
4. To keep thorough records of all research findings
5. To establish a relationship with the supervisor
6. To obtain feedback by means of reports and seminars and to apply such feedback
7. To do a literature survey and remain aware of new relevant information
8. To benefit from the research environment
9. To inform the supervisor of non-academic problems
10. To prepare and write the dissertation
11. To prepare and write publications, patents and reports.

SU POLICY ON ACADEMIC INTEGRITY:

THE PREVENTION AND HANDLING OF PLAGIARISM

Senate: 26 November 2010

1. BACKGROUND

The academic work done at a university means that academics and students are exposed to the ideas, written material and various intellectual and creative products of fellow students and colleagues. The intention of academic work is precisely that the ideas of the lecturer or researcher and student are shaped and honed by these ideas and material of others. At the same time, a process of critical evaluation is required to make new or original inputs or syntheses in order to make it applicable to contemporary international and local questions. Herein lies the particular satisfaction of academic work at university level.

Naturally, the original contribution by a person can only be evaluated if it can be distinguished clearly from the contributions of other people. This is done by way of acknowledged systems of acknowledgement and referencing. By not following these conventions and giving the necessary acknowledgement, the basis of the academic work at a university is undermined. Taking over this work (words, ideas, creations) of other people and passing it off as the writer's own is to commit plagiarism.

The University wishes to ensure that the mechanisms are in place that will enable staff and students to promote academic integrity and eliminate plagiarism. At the same time it is important that cases related to plagiarism are dealt with in a consistent and fair manner. It is therefore essential that the University has a policy in place to intercept these aspects and create a framework within which it is possible to function.

The following policy is thus proposed and has to be read together with the *Framework Policy for the Assurance and Promotion of Ethically Accountable Research at Stellenbosch University*, the *Disciplinary Code for Students of Stellenbosch University*, the *Disciplinary Code for Staff of Stellenbosch University*, as well as any other University policies and guidelines that may be applicable from time to time.

2. PLAGIARISM: DEFINITION AND BROAD CATEGORIES

2.1 Definition:

Plagiarism is the theft and use of the ideas, material and other intellectual property of others that are passed off as one's own.

Such intellectual property could include:

a) *literary works*, articles, books, dissertations, theses, newspapers, notes, course material, the assignments of fellow students, e-mail messages, data, computer code, internet sources, and *spoken text*, speeches, cassette recordings, lectures, interviews, etc.

b) *artistic works*, images and graphic art, photographs, etc.

c) *multimedia products*, websites, video productions, films, CDs, design projects, etc.

d) *musical works*, compositions, lyrics, CDs, DVDs, music or sound bites on the internet, etc.

2.2 Categories:

All cases of *plagiarism* amount to a serious offence, which can have dire consequences for the person concerned, including suspension or expulsion (in the case of a student) or dismissal (in the case of a member of staff) from the University, besides possible criminal or civil action.

In terms of the University's handling of cases of plagiarism, the offences are divided into three broad categories:

Category 1:   Minor offences that can be regarded as resulting from ignorance, negligence or inaccuracy in working with and acknowledging sources, but that can still be regarded as plagiarism.

Category 2:   Less serious cases, in which sources, work or material have been handled injudiciously, but that by nature still constitute plagiarism. Category 1 and 2 offences are usually dealt with by the department concerned in the case of students. Repeated Category 2 offences can be referred to the Central Disciplinary Committee (CDC) in the case of students, and in the case of staff, they will be dealt with in terms of the Disciplinary Code for Staff (refers to less serious cases).

Category 3:   Blatant cases, in other words where the work or material of another person has been taken over and used intentionally and deliberately. In the case of students, such cases will normally be referred to the CDC, and in the case of staff, they will be dealt with in terms of the Disciplinary Code for Staff (refers to serious cases).

3.   THE UNIVERSITY'S APPROACH

The University's policy approach is based on a developmental or awareness-creating dimension, particularly in the case of students and with due observance of the University's Policy on Learning and Teaching. This does not mean that the University is lenient in its handling of plagiarism; on the contrary, it creates a basis for the firm, consistent and tenable handling of cases of plagiarism. Through this dimension, the University creates an opportunity for offences relating to plagiarism to be handled in a decentralised manner, for certain cases to be dealt with at the departmental level and for others to be addressed by way of disciplinary processes, as set out in 3.1 and 3.2 of this document.

3.1   ALLEGED OFFENCE(S) BY A MEMBER OF STAFF

(a)   The departmental chairperson will only respond to written complaints, together with the necessary documentary evidence, that plagiarism has allegedly been committed. Such complaints may be made anonymously.

(b)   In cases where it is suspected that a member of staff has committed plagiarism, the case will be facilitated by the chairperson of the department. If the member of staff who pointed out the plagiarism is also the departmental chairperson, another member of staff in the department concerned has to be involved in the process.

(c)   The departmental chairperson will make enquiries at the Legal Services Division to determine whether any previous offence with regard to plagiarism has been reported. This information is taken into account in the further handling of the case.

(d) Action against a member of staff is subject to the provisions of the Disciplinary Code for Staff. A first offence, if of a less serious nature, is handled by the dean of the faculty. All complaints of alleged serious (second or further) offences by a member of staff will be dealt with in terms of the provisions for serious offences in the Disciplinary Code for Staff.

3.2 ALLEGED OFFENCE(S) BY STUDENTS

(a) Where it is suspected that a student has committed a form of plagiarism, the matter will be handled further by the chairperson of the department and the lecturer concerned. If the lecturer who pointed out the plagiarism is also the departmental chairperson, another lecturer in the department concerned should be involved in the process.

(b) The student shall be informed in writing that he or she has allegedly committed an offence and that, in terms of the rules of the University, the case can at the sole discretion of the student directly be referred to the CDC, that the process before the CDC is formal and that, among others, the student has "a right to legal representation" (in terms of the Disciplinary Code for Students). The student's attention should also be drawn to the possible sanctions that can be imposed by the CDC.

(c) The departmental chairperson will make enquiries at the Legal Services Division to determine whether any previous offence with regard to plagiarism by the student concerned has been reported. This information is taken into account in the further handling of the case. (See (d) and (e) below.)

(d) **In the case of a Category 1 or 2 offence:**
   i. Category 1 cases are handled in the department and repeated cases of Category 2 are referred to the CDC.
   ii. A first Category 2 offence can be dealt with at departmental level. However, the student has to make an informed decision on the possibility of the case being handled internally, in which case there can be specific sanctions (e.g. that a mark of nil is allocated, that the assignment has to be redone, etc.). In the case of action at departmental level, the student's "right to legal representation" falls away, as does the right to have a process conducted before the CDC. The decision taken by the student must be put in writing, on the prescribed form that can be obtained from the Legal Services Division.
   iii. The minimum sanction by a department is a verbal warning.

(e) **In the case of a Category 3 offence:**
   i. The departmental chairperson must refer to case to the Manager: Student Discipline, who will handle the case in terms of the CDC protocol.
   ii. The decision of the CDC on action against the student is put in writing.
   iii. The Legal Services Division is informed of the case in writing on the prescribed form that can be obtained from Legal Services.

3.3 RECORD KEEPING IN ORDER TO ENSURE THE CONSISTENT HANDLING OF PLAGIARISM

3.3.1 Departmental chairpersons must report all cases of alleged plagiarism to the Legal Services Division. This is also done for cases where the person concerned was found not guilty, for the record.

3.3.2 The following information should accompany all reports:

      i. Plagiarism: Departmental handling (form as prescribed in Addendum 2)

      ii. Written complaint that was submitted

      iii. Alleged documentary evidence that was submitted

      iv. Names of people who were involved in the investigation or hearing

      v. Proof that the alleged offender, in the case of students, exercised his or her choice regarding whether or not the case should be referred directly to the CDC

      vi. Verdict, with the sanction, where applicable

      vii. Proof that the alleged offender has been informed of the decision.

3.3.3 The Legal Services Division must standardise all cases on an annual basis – the reason being to ensure consistent action at the institutional level and to determine a median punishment. In cases where it is clear that a particular department is imposing penalties beyond the median, the department concerned should be informed accordingly and be provided with a copy of the latest guidelines.

3.3.4 Appeals are dealt with according to the existing protocols and procedures.

3.3.5 All cases should be dealt with in the strictest confidence.

4 IMPLEMENTATION

4.1 It is the responsibility of departments to ensure that all students and staff are aware of the policy and that the processes contained therein are implemented consistently.

4.2 It is compulsory for all students to sign the Plagiarism Declaration (as attached in Addendum 1) and to attach it to any relevant study assignments, as prescribed by the department concerned. Furthermore, it is essential that members of staff are aware that they are also subject to this declaration as employees of the University.

4.3 The University has a development instrument (Turnitin software) that is available for students to check their documents as part of the learning process. Lecturers are also encouraged to make use of it. The Centre for Teaching and Learning can assist you with training where required. The University's Library and Information Service also provides information literacy sessions that address plagiarism.

4.4 In the case where a full dissertation or mini-dissertation is examined for plagiarism, the item must be withdrawn from SUNScholar for the duration of the investigation, as should any other online forms of the document (e.g. on departmental websites). If no form of plagiarism can be found, the document may once again be made available.

4.5 Departments should endeavour to ensure the greatest possible measure of consistency in the implementation of the policy with regard to the handling of plagiarism, in order to ensure fairness for all staff and students.

4.6 This policy takes preference over all other arrangements that faculties and departments may make with regard to dealing with plagiarism, and the necessary adjustments should be made to such faculty and departmental arrangements to ensure that they are in line with this policy.

4.7 The responsibility for supporting those involved in dealing with plagiarism is assigned to the Division for Research Development, which support will take place in consultation with other appropriate support service divisions, such as the Legal Services Division and the Library and Information Service.

4.8 The Legal Services Division keeps a record of all instances of plagiarism that are reported by the department concerned or by the relevant disciplinary committees.

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Addendum 1

Plagiarism declaration

1 *Plagiarism is the use of ideas, material and other intellectual property of another's work and presenting it as my own.*

2 *I agree that plagiarism is a punishable offence because it constitutes theft.*

3 *I also understand that direct translations are plagiarism.*

4 *Accordingly, all quotations and contributions from any source whatsoever (including the internet) have been cited fully. I understand that the reproduction of text without quotation marks (even when the source is cited) is plagiarism.*

5 *I declare that the work contained in this assignment, except where otherwise stated, is my original work and that I have not previously (in its entirety or in part) submitted it for grading in this module/assignment or another module/assignment.*

Student number	*Signature*
Initials and surname	*Date*

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ADDENDUM 2

DEPARTMENTAL TREATMENT OF PLAGIARISM

Mr/Ms …………………………………………Student number: ....

You have allegedly committed plagiarism in the assignment...

....

that you submitted to the Department of ....

on __ __ / __ __ / __ __ __ __ as part of the module ....

In terms of the *SU Policy on Academic Integrity: The Prevention and Handling of Plagiarism*, alleged plagiarism can be addressed either departmentally or by the Central Disciplinary Committee (CDC), on the basis of the following guidelines:

Category 1:   Minor offences that can be regarded as resulting from ignorance, negligence or inaccuracy in working with and acknowledging sources, but that can still be regarded as plagiarism.

Category 2:   Less serious cases, where sources, work or material have been handled injudiciously, but that by nature still constitute plagiarism. Category 1 and 2 offences are usually dealt with by the department concerned in the case of students.

Category 3:   Blatant cases, in other words where the work or material of another person has been taken and used intentionally and deliberately. In the case of students, such cases must be referred to the CDC.

The CDC process is a formal one and you have "the right to legal representation" in terms of the Disciplinary Code for Students. The sanctions that can be imposed by the CDC include suspension or expulsion from the University, the forfeiture of a degree or diploma or the forfeiture of a class mark or other forms of credit that have been attained. The CDC may also publicise the details of the offence and the sanction, together with the student's name, on notice boards on campus.

The Department of .... is of the opinion that your alleged offence mentioned above is a Category ...... offence and that the case can be handled at departmental level.

If you should choose to have the matter dealt with departmentally, the following sanctions are in force:

(i)   ....

....

....

(ii)   Your "right to legal representation" lapses.

(iii)   You forfeit the right to have the process conducted before the CDC.

If the departmental option above does not appeal to you, the matter can be referred to the CDC to be dealt with further.

Hereby I, ...,

with student number......................................, choose

☐   that the case be dealt with at departmental level.

☐   that the case be referred to the Central Disciplinary Committee.

....
(Signature of student)   (Date)

....
(Signature of lecturer)   (Date)

....
(Signature of departmental chairperson)   (Date)

Note: **After it has been signed, a copy of this form must be sent to:**
The Manager: Student Discipline, Legal Services, Office B4207, Administration block B, Stellenbosch Campus

Standard Operating Procedure
Research Ethics Committee: Human Research (Humanities)

http://www0.sun.ac.za/research/research-integrity-and-ethics/human-research-humanities-ethics-1.html

DEPARTMENTAL ETHICS SCREENING COMMITTEE CHECKLIST

Preamble to the checklist

Researchers, supervisors and departmental chairs have the primary responsibility to ensure that research conducted in their respective disciplines is characterised by methodological rigour and comply with the guidelines of relevant professional bodies and scientific organisations, as well as relevant legislation and institutional, national and international ethics guidelines.

All research in which humans, institutions, organisations, communities or groups are involved must be screened by departments. The departmental processes for the ethics screening of research proposals should be integrated with the process of approving research proposals in terms of their scientific integrity and rigour. This means that the departmental ethics checklist for the ethics screening of a research project should be considered in the same process as the approval of the research proposal.

The checklist serves as a heuristic (i.e. a guideline) to assist the researcher in evaluating the potential ethical risks associated with the research. The emphasis should be primarily on an honest and critical reflection on, and deliberation about, the risk of unjustifiably negative impacts on the research participants and other stakeholders involved in the research, and not on the completion of the checklist as a mere bureaucratic necessity.

To record that all research proposals in which humans, institutions, organisations, communities or groups are involved have been screened in ethical terms, the departmental ethics checklist must be completed in a manner that attests to the fact that the researcher (and, if applicable, the Departmental Ethics Screening Committee [DESC]) has diligently reflected on the matter.

Process notes:

- All submissions to the Research Ethics Committee (REC) must be accompanied by a fully completed departmental ethics checklist. The departmental screening process is where the ethics review process starts.

- When medium or high ethical risk research is referred to the REC for review, it is important to share the DESC's assessment, experience and wisdom about avoiding or mitigating ethical risks with the REC. Please record which ethical risks are related to the medium or high ethical risk research, and what should be done to avoid or mitigate these ethical risks on the last page of the departmental ethics checklist, or on a separate page, and indicate in a note to the REC exactly for what ethics clearance is requested.

- Departments should have a short turn-around time in the processing of departmental ethics checklists, following a time schedule that is well coordinated with the submission of applications to the REC.

- Departments are encouraged to involve researchers and supervisors in the deliberations and/or feedback of the DESC with a view to promote awareness, insight and opportunities for the discussion of ethical issues related to research.

DEPARTMENTAL ETHICS SCREENING COMMITTEE CHECKLIST (DATA COLLECTION)
To be prepared by the researcher (student researcher in consultation with supervisor) and attached to the actual research proposal, and submitted to your departmental chair

Name of researcher: Prof/Dr/Mr/Ms/Other
Department of researcher:
Title of research project:
If a registered SU student, degree programme:
SU staff or student number:
Supervisor (if applicable): Prof/Dr/Mr/Ms

ETHICAL CONSIDERATIONS	Yes	NS*	No	ACTION REQUIRED
1. Familiarity with ethical codes of conduct				
As researcher I have familiarised myself with the professional code(s) of ethics and guidelines for ethically responsible research relevant to my field of study as specified in the list herewith attached, AND the Framework Policy for the Assurance and Promotion of Ethically Accountable Research at Stellenbosch University				If YES: Continue with the checklist. If NS/NO: Researcher must do so before proceeding.
2. The proposed research: (Go through the whole of Section 2)				
a) Involves gathering information directly from human subjects (individuals or groups) (e.g. by means of questionnaires, interviews, observation of subjects or working with personal data)	Yes	NS	No**	If YES: Continue with the checklist. If NO: This checklist process does not apply to the proposed research, except if 2 (b) applies.
b) Involves gathering information directly from companies, corporations, organisations, NGOs, government departments etc. that <u>is not</u> available in the public domain				If YES: Continue with the checklist. If NO: This checklist process does not apply to the proposed research.
c) Is linked to or part of a bio-medical research project				If YES/NS: REC clearance may be required. DESC should decide.
d) Involves gathering information without consent/assent, i.e. will be conducted without the knowledge of the subjects of or participants in the research				If YES/NS: REC clearance may be required. DESC should decide.
e) Involves collecting identifiable information about people from available records/archival material to be collected on individuals/groups/lists with personal information				If YES/NS: REC clearance may be required. DESC should decide.

* NS = Not sure/Don't know

** **Please note**: If the "No" option is selected, it does not exempt the researcher from the responsibility to ensure that ethical research practices are followed throughout the research process. The onus rests on the researcher to ensure that, should any ethical issues arise throughout the research process, the necessary steps are taken to minimise and report these risks to the supervisor of the study (where relevant), the departmental chair and the REC. Furthermore, if the "No" option is chosen, it does not absolve the researcher from seriously considering the possible risk that the research can in some way wrongfully disadvantage the research participants and/or stakeholders or deny them fundamental rights.

3. The proposed research involves the gathering of information from people in the following categories:				
a) Minors (persons under the age of 18 years)	**Yes**	**NS**	**No**	If YES/NS for any of these categories (a-f): REC clearance may be required. The DESC must screen the proposal/project and must refer it to the REC if the ethical risk is assessed as medium or high. Then continue with the checklist. If NO for all of these categories: Continue with the checklist.
b) People with disabilities				
c) People living with/affected by HIV/Aids				
d) Prisoners				
e) Other category deemed vulnerable; SPECIFY here: [See Glossary of SOP for definitions.]				
f) Stellenbosch University staff, students or alumni	**Yes**	**NS**	**No**	If YES/NS: REC clearance must be obtained. Complete checklist and submit to DESC. If NO: Continue with the checklist.
4. Assessment of risk of potential harm as result of research (tick ONE appropriate box)				
a) **Minimal risk** (for a classification of risk types, and definition, see Glossary and Addendum 3 in REC SOP)	**Yes**	**NS**	**No**	If YES: Established ethical standards apply. Proceed to 5, 6 and 7 and completion of checklist. If NO/NS: Proceed to 4b).
b) **Low risk** (for a classification of risk types, and definition, see Glossary and Addendum 3 in REC SOP)	**Yes**	**NS**	**No**	If YES/NS: Established ethical standards apply; researcher or supervisor must refer the project to the DESC for further guidance. Proceed to 5, 6 and 7 and completion of checklist. If NO: Continue with the checklist.
c) **Medium risk** (for a classification of risk types, and definition, see Glossary and Addendum 3 in REC SOP)	**Yes**	**NS**	**No**	If YES/NS: REC clearance must be obtained; the research project must be referred to the REC. Proceed to 5, 6 and 7 and completion of checklist. If NO: Continue with the checklist.
d) **High risk** (for a classification of risk types, and definition, see Glossary and Addendum 3 in REC SOP)	**Yes**	**NS**	**No**	If YES/NS: REC clearance must be obtained; the research project must be referred to the REC. Proceed to 5, 6 and 7 and completion of checklist. If NO: Continue with the checklist.
5. The proposed research involves processes regarding the selection of participants in the following categories:				
a) Participants who are subordinate to the person doing the recruitment for the study	**Yes**	**NS**	**No**	If YES: REC clearance may be required. The DESC must assess and advise. If NO: Continue with the checklist.
b) Third parties who are indirectly involved because of the person being studied (e.g. family members of HIV patients, parents or guardians of minors, friends)	**Yes**	**NS**	**No**	If YES: REC clearance may be required. The DESC must assess and advise. If NO: Continue with the checklist.

6. Steps to ensure established ethical standards are applied (regardless of risk assessment)				
a) **Informed consent**: Appropriate provision has been/will be made for this (either written or oral)	**Yes**	**NS**	**No**	If YES: Develop and apply protocols and clear with DESC. Continue with checklist. If NS/NO: Attach justification and refer proposal to DESC for further assessment and advice.
b) **Voluntary participation:** Respondents/informants will be informed that, inter alia, they have the right to refuse to answer questions and to withdraw from participation at any time				
c) **Privacy**: Steps will be taken to ensure that the personal data of informants are secured from improper access				
d) **Confidentiality and anonymity:** The confidentiality of information and anonymity of respondents/informants will be maintained unless explicitly waived by the respondents/informants				
e) **Training:** Research assistants/fieldworkers will be used to collect data, and ethics awareness will be included in their training				
f) **Mitigation of potential risk**: The likelihood that mitigation of risk of harm to participants is required is medium/high, and appropriate steps have been/will be taken (e.g. referral for counselling)	**Yes**	**NS**	**No**	If YES/NS: Develop protocols for submission to DESC. Continue with checklist. If NO: Proceed with checklist.
g) **Access:** Institutional permission is required to gain access to participants and has been/will be secured. Specify here from whom: [If the permission letter required is available, submit it to the DESC. If it is not available, apply for it immediately and indicate to the DESC when it will be expected.]	**Yes**	**NS**	**No**	If YES: Develop application for authorisation, clear with DESC and apply. Continue with checklist. If NS: Refer proposal to DESC for assessment and advice. Continue to 6 (h). If NO: Proceed to 6 (h).
h) **Accountability research***: Institutional permission to gain access to participants poses an obstacle to conducting the research.	**Yes**	**NS**	**No**	If YES/NS: Refer proposal to DESC for assessment and advice. Continue with checklist. If NO: Continue with checklist.
i) **Public availability of instruments to gather data**: [When applicable] Are the instruments that will be used to gather data available in the public domain?	**Yes**	**NS**	**No**	If YES or not applicable: Proceed with checklist. If NS/NO: Obtain permission to use the instrument(s) and submit letters of permission with the proposal to DESC for assessment and advice Continue with checklist.
j) **Use of psychological tests**: [When applicable] Are the instruments that will be used to gather data classified by law as psychological tests?	**Yes**	**NS**	**No**	If YES/NS: Indicate who will administer these tests, and whether they are appropriately registered and adequately trained to do so. Provide registration number and professional body. Continue with checklist. If NO or not applicable: Proceed with checklist.
k) **Protecting data from unauthorised access**: Are appropriate measures in place to protect data from unauthorised access? If yes, specify what the measures are:	**Yes**	**NS**	**No**	If YES: Specify and proceed with checklist. If NO/NS: Develop and put in place appropriate measures. Continue with checklist.

l) **Unexpected information**: If unexpected, unsolicited data are revealed during the process of research, data will be kept confidential and will only be revealed if required by law	**Yes**	**NS**	**No**	If YES: Proceed with checklist. If NO/NS: Consult on this matter with DESC. Continue with checklist.
m) **Emergency situations**: If an unexpected emergency situation is revealed during the research, whether it is caused by my research or not, it will immediately be reported to the supervisor and Departmental Chair for further advice	**Yes**	**NS**	**No**	If YES: Proceed with checklist. If NO/NS: Consult on this matter with DESC. Continue with checklist.
n) **Permission to use archival data**: [When applicable] Is permission granted from the custodian of the archive to use it?	**Yes**	**NS**	**No**	If YES: Proceed with checklist. If NO/NS: Consult on this matter with DESC. Continue with checklist.
o) **The archive itself does not pose problems**: [When applicable] The initial conditions under which the archive originated allow the researcher, as a third-party researcher, to use the material in the archive	**Yes**	**NS**	**No**	If YES, proceed with checklist. If NO/NS: Consult on this matter with DESC. Continue with checklist.
7. Conflict of interest				
Is the researcher aware of any actual or potential conflict of interest in his/her proceeding with this research?	**Yes**	**NS**	**No**	If YES/NS: Identify concerns, attach details of steps to manage them, and refer to DESC for assessment and advice. If NO: No further action required, except signing the declaration and the checklist, and submitting it to the DESC with supporting documentation.

DECLARATION BY RESEARCHER: I hereby declare that I will conduct my research in compliance with the professional code(s) of ethics and guidelines for ethically responsible research relevant to my field of study as specified in the list herewith attached, AND the *Framework Policy for the Assurance and Promotion of Ethically Accountable Research at Stellenbosch University*, even if my research poses minimal or low ethical risk.

Print name of researcher	**Signature of researcher**
Date	

Print name of supervisor	**Signature of supervisor**
Date	

DECISION OF DESC
Referral to REC: Yes/No

[In the case of a referral to the REC, submit this checklist and its supporting documentation as well as the full application for ethics review together with its supporting documentation. Avoid unnecessary duplication of documentation. In addition, the ethical risks related to the research proposal that is submitted for review should be listed, together with the DESC's proposals, to avoid or mitigate these ethical risks. Clearly indicate in a note exactly for what ethical clearance is requested.]

If no referral is required, state any DESC conditions/stipulations subject to which the research may proceed (on separate page if space below is too limited): *[Or stretch table below if required]*

Any ethical issues that need to be highlighted?	Why are these issues important?	What must/could be done to minimise the ethical risk?

Print name of departmental chair	**Signature of departmental chair**
Date	

Print name of second member of DESC	**Signature of second member of DESC**
Date	

DOCUMENTS TO BE PROPERLY FILED IN THE DEPARTMENT AND (E-)COPIES SENT TO THE REC OFFICE. ON RECEIPT OF THIS COPY, THE REC SECRETARIAT WILL ISSUE AN REC REGISTRATION NUMBER.

Note: Departments are requested to provide staff members and students with a list of professional code(s) of ethics and guidelines for ethically responsible research relevant to their field of study on which they can indicate by signature that they have familiarised themselves with it. The last item in the list should be the *Framework Policy for the Assurance and Promotion of Ethically Accountable Research at Stellenbosch University*.

Our gratitude to the Department of Sociology and Social Anthropology, Stellenbosch University, for the initial concept.

"[Type title of dissertation]"

by
"[Type your full names and surname]"

Dissertation presented for the degree of
"[Type name of degree e.g. Doctor of Engineering]" in the
Faculty of "[Type name of Faculty e.g. Engineering]" at
Stellenbosch University

Supervisor: "[Type title (abbreviated), full names and surname of Supervisor]"
Co-supervisor: "[Type title (abbreviated), full names and surname of co-supervisor]"

"[Enter month of graduation and year e.g. December 2013]'