



NORTH-WEST UNIVERSITY
YUNIBESITI YA BOKONE-BOPHIRIMA
NOORDWES-UNIVERSITEIT
INSTITUTIONAL OFFICE

MANUAL FOR POSTGRADUATE STUDIES

Postgraduate students are known internationally as graduate students. Graduate students are students who continue their studies after graduation. wordnetweb.princeton.edu/perl/webwn

A postgraduate student can also be seen as either a postgraduate coursework student or a postgraduate research student
www.adelaide.edu.au/policies/glossary

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Preface

This Manual for Post Graduate Studies was approved by the Senate of the North-West University for use on all campuses.

The information should be seen as guidelines, **except where it appears in italics**. In these cases they are rules to be followed. In this regard also see **rule A.1**.

Section 1 contains all the relevant procedures discussed with reference to the most recent A- rules.

Section 2 contains the composition of the mini-dissertation, dissertation or thesis, also with reference to the most recent A-rules where necessary.

Section 3 contains the Code of Conduct for supervisors and promoters.

Section 4 contains the Code of Conduct regarding plagiarism at the North-West University

Section 5 contains the Guidelines to the Ethics of Research

1 PROCEDURES WITH RESPECT TO MASTER'S DEGREES AND DOCTORATES

Postgraduate study involves training and research. In addition to training in research, which is particularly emphasised, lectured Master's degrees also include advanced course work for postgraduate study. This manual is aimed at discussing the research portion of the study, and not the advanced course work, like the professional, lectured and structured Master's degrees. At the North-West University research is conducted mainly in a small number of **focus areas** for research and postgraduate study. Each of the focus areas functions under the guidance of a research director. The research director, or person responsible for research, provides guidance to the staff and postgraduate students who participate in the research in the focus area and is responsible for managing the focus area. In this regard the research directors act in close consultation with the school directors and deans.

The organisation of the research and postgraduate study into focus areas is aimed at promoting **quality** and becoming competitive at an international level. The research and postgraduate training are regularly evaluated externally and internally.

Details on the focus areas are available on the website of the University and at the Department of Research Support.

1.1 Mini-dissertations, dissertations and theses

In this manual, postgraduate study refers only to study for a Master's degree and doctorate. The Master's degree usually follows the honours degree (in a few cases the bachelor's degree), while the doctorate follows the Master's degree.

The terms **mini-dissertation**, **dissertation** and **thesis** should be clearly distinguished.

Mini-dissertations, dissertations and theses are research reports submitted by students in partial or full fulfilment of the requirements for obtaining postgraduate qualifications. For a **Master's degree** a **mini-dissertation** or **dissertation** is required. In some subject fields a Master's degree can be obtained by combining the submission of a mini-dissertation, a written document with a smaller scope than a dissertation, with a number of exam papers. For a **doctorate** a **thesis** is required. The composition of a mini-dissertation, a dissertation and a thesis is similar, as are the requirements with which each must comply.

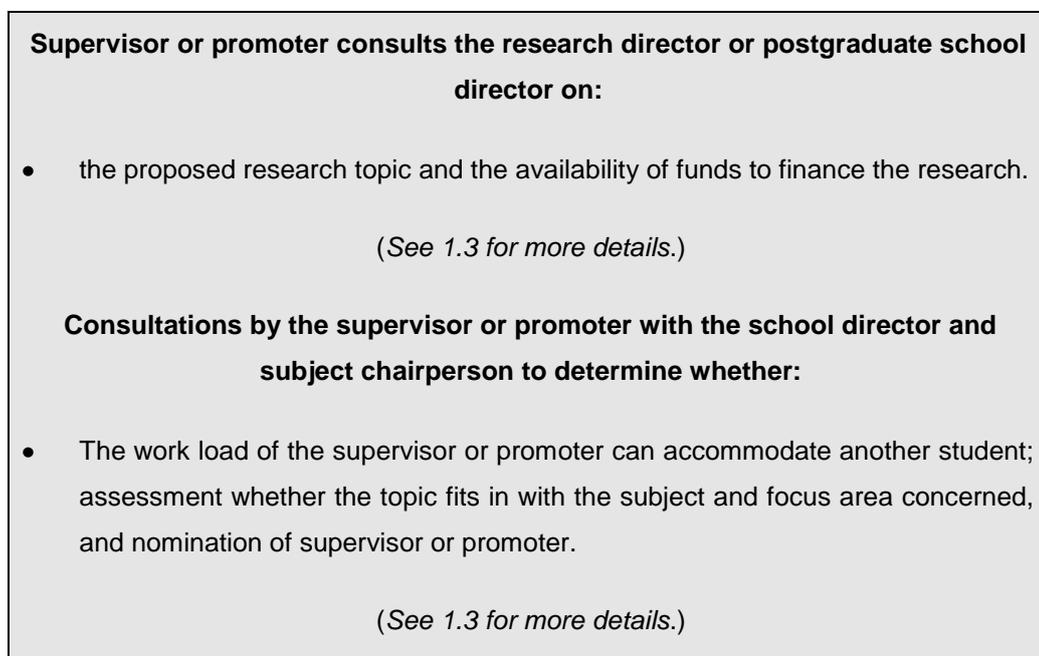
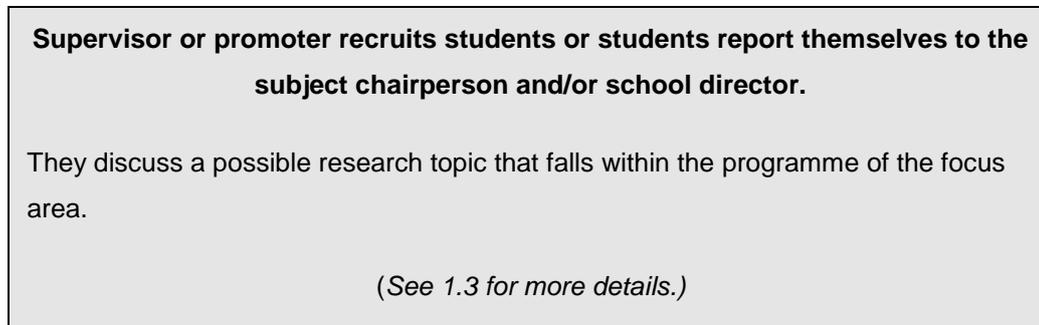
See rule **A.8.5.7** for the requirements with which a thesis must comply.

See rule **A.7.5.7** for the requirements with which a mini-dissertation or dissertation must comply.

A mini-dissertation/dissertation/thesis can also be submitted in the form of published research articles or unpublished manuscripts in **article format**. (See rules **A.7.5.7.4** and **A.8.2.**)

1.2 Flow chart of the entire registration, research and examining process

To make things easier for prospective postgraduate students, a flow chart of the registration, research and examining process for Master's and doctorate students is given below for students at the North-West University.



In conjunction with supervisor/promoter the student formulates a title for the mini-dissertation/dissertation/thesis after consultation with the school director and research director or postgraduate school director and submits it for approval to the executive of the faculty board.

(See 1.7 for more details.)



The student submits a research proposal to the executive of the faculty board concerned (or to the Committee for Advanced Degrees if the faculty concerned has such a committee).

(See 1.8 for more details.)



The student conducts the research under the supervision and with the co-operation of the supervisor or promoter.

(See 1.8 for more details.)



When approaching the completion of the study, the student takes cognisance of the following:

- submission date *(See 1.9 1.1 for more details.)*
- requirements for submission *(See 1.9.1.2 for more details.)*
- notice of submission *(See 1.9 1.3 for more details.)*
- requirements for language and technical editing *(See 2.6.1 for more details.)*

the number of copies required for submission *(See 1.9.1.5 for more details.)*



The student compiles the mini-dissertation/dissertation/thesis with due consideration to the following:

- preface
- table of contents
- introduction
- subdivisions in the text
- closing chapter
- annexures
- illustrations
- bibliography

At this stage the student can choose whether to present the mini-dissertation/dissertation/thesis in the form of articles or not.

(See 2.1 and all the subdivisions for more details.)



The student has the mini-dissertation/dissertation/thesis language edited and prepares it for printing.

(See 2.6.1 for more details.)



The student obtains authorisation to submit the mini-dissertation/dissertation/thesis from the supervisor/promoter on a form that can be obtained from Academic Administration.

(See 1.9.1.4 for more details.)



The mini-dissertation/dissertation/thesis is submitted to Academic Administration.

(See 1.9.1 for more details.)



The examining process commences.



Results are released.

1.3 Reporting for study and registration

When a student proposes to continue studying at Master's or doctorate level, he/she consults the lecturer under whose supervision he/she would like to conduct the research. If the student does not know under whose guidance he/she would like to work, he/she consults the research director concerned for a recommendation.

The supervisor or promoter will then consult the research director about a possible research topic that fits in with the focus area and about the availability of funds. This is followed by consultations with the school director and subject chairperson to determine whether the supervisor or promoter's workload permits him/her to accept further students as supervisor or promoter. The school director then nominates the supervisor or promoter and after the student's registration has been completed, informs the executive of the faculty board.

The student then arranges with Academic Administration for admission to the university (if the student comes from another university), registers and pays the registration fee. Academic Administration provides the student with a registration form for reporting to the research director concerned.

1.4 Annual registration and study term

See **rules A.7.4.1, A.7.4.2, A.8.4.1 and A.8.4.2** with regard to the annual registration as well as the cut-off dates.

If a student wants to use the university's facilities (e.g. the library) before 31 January of a certain year, he/she must first register or re-register. If an unregistered postgraduate student wants to use the library after 30 June, the student must pay the prescribed fees.

1.4.1 Minimum and maximum terms

There are prescriptions for the minimum as well as the maximum term of the study, which can vary from one faculty to the next. See **rules A.8.6.1 and A.7.5.2.3 & A.7.6.1**.

1.5 Classification and declassification of mini-dissertations/dissertations/theses

See rules **A.7.9 and A.8.9** for possible classification of a mini-dissertation, dissertation or thesis as confidential or secret.

1.6 Procedure for the classification of theses and dissertations

1.6.1 Application

During **title registration** the Promoter/Supervisor submits a completed application (form is available on the official style sheet of the relevant campus) at the relevant campus' Academic Administration Department.

- The application must be accompanied by:
 - a written request by the candidate,
 - a written request and/or contract of the firm and the NWU.
- The recommendation and motivation must be completed and signed by the Promoter/Supervisor.
- The School Director and Dean must approve/reject the application and sign it.

All documentation (e.g. the research proposal) submitted by the student will be treated as confidential as of receipt of the classification

1.6.2 Evaluation of classification applications

- Application documents are forwarded to the Academic Administration Department of the relevant campus for preparing an agenda
- A committee for classification meets on the relevant campus as and when the need arises (usually twice a year)
- The Promoter/Supervisor and student are notified in writing of the outcome as determined by the committee
- The date of classification is valid from the date of receipt of soft-bound copies for examination

The minutes are forwarded to the relevant campus management committee

1.6.3 Database

Each campus must develop a database for the classification of theses/dissertations and/or mini-dissertations and for the continuous updating of the information stored in this database.

The following information must be captured per application:

- Name and university number of the candidate
- Title of the mini-dissertation, dissertation or thesis
- Promoter or Supervisor
- Firm
- Period requested and period granted
- Date of declassification

1.6.4 Safeguarding

The soft-bound and hardcover copies are kept in a safe place on the relevant campus.

1.6.5 Declassification

Correspondence and control with regard to declassification takes place continuously on the relevant campus based on the information contained in the database.

1.6.6 Procedure for the classification and declassification of theses and dissertations

The central classification register is maintained per campus by Academic Administration: Master's and Doctoral Degree Administration.

When a new application is received, it is recorded in the register, and following the Institutional Classification Committee's meeting, the register is updated accordingly.

Declassification is done based on the central classification register. A letter is sent to the student and supervisor/promoter, stating that the approved classification period has expired, and enquiring whether the student would like to extend the period.

Should the student indicate that he/she would indeed like to extend the period, a new application for reclassification must be submitted. This application then follows the normal route for new applications and the register is updated based on the outcome of the Institutional Committee meeting.

Should the student decide not to apply for an extension, the central register is updated accordingly. The student is then notified that the classification has been cancelled. The university library is notified in writing and the required number of hard copies together with an accompanying letter are sent to the library. The examiners also receive their own copies by mail, with an accompanying letter.

1.7 The title of the mini-dissertation/dissertation/thesis

1.7.1 Formulating the title

*In all cases a title (which can be amended later if required after experimental results have been obtained) must be formulated for a study. Supervisors/promoters must guide the student so that the proposed title covers the topic meaningfully and refers to the main aspects of the study as far as possible. (Example: The **relationship** between A and B; The **implications** of A for B; The **effect** of A on B; The **impact** of A on B.) The title must have the necessary impact and should preferably not be longer than 12 words. Supervisors/promoters should guard against all aspects of the study being included in the title, as such titles are unwieldy. The title should be brief and to the point for two reasons: (a) the various aspects of the study are set out in the course of the study and need not all be*

reflected in the title; (b) the title has to appear on the title page and spine of the mini-dissertation/dissertation/thesis.

1.7.2 Approving the title and research proposal

See **rules A.7.2 and A.8.2** for approval of the research proposal and the title of the mini-dissertation/dissertation/thesis.

The requirements, with which the research proposal must comply, are discussed in 1.8 below.

Students should realise that a considerable amount of prior study is required before they can apply for approval of the title and research proposal. There is no deadline for approval of research proposals. Faculties can make use of their own rules about the timeframe for the approval of the research proposal, In many faculties there is a timeframe of 6 months, Please make sure of this Faculty rule at your Research/Entity Director.

Late applications for title amendments must be limited to a minimum.

1.8 The research proposal

Please note: The length of the research proposal differs from faculty to faculty. Students should make enquiries from the administrative manager of the faculty concerned. The research proposal must be language edited.

The **research proposal** is compiled in conjunction with the supervisor/promoter and submitted to the administrative manager and approved by the executive of the faculty board concerned. In some faculties it has to be submitted to the Committee for Advanced Degrees first. Students are reminded that they can also submit bound publications for Master's degrees and doctorates according to the prescriptions in 1.1. If the student intends doing this at the stage at which the research proposal is submitted, the student can amend the guidelines below with regard to the submission somewhat.

The proposal can be compiled under the following headings, with due consideration to the different subject fields:

1.8.1 Proposed title

The title as formulated in 1.7.1 above must be indicated.

1.8.2 Problem statement and substantiation

In compiling the research proposal for a mini-dissertation/dissertation/thesis the requirements as indicated in **rules A.7.5.7 and A.8.5.7** must be kept in mind.

Indicate the theme of the investigation and place it in perspective with information from the literature in the research field concerned. The specific gap (problem) in the current knowledge on the topic or the area in which a contribution can be made must be indicated. This is confirmed with an evaluating (not summative) reference to recent research (problems, ambiguities, unanswered questions or niches for creative development). It must be clear that the problem is currently still unsolved or that there is a need or possibility for the new, meaningful development. Substantiate why it is necessary to investigate the problem concerned or find an answer to the research question posed – i.e. indicate the actuality of the investigation. It is important for the research question to which the proposed investigation intends finding an answer to be explicitly formulated. Here you should also give an indication of the extent to which, or with regard to what, the proposed research will help to answer the research question and to develop or expand knowledge in the subject field concerned. The possible application or value of the expected results can be highlighted.

Large, multidisciplinary projects should indicate clearly what the student's own contribution will be.

1.8.3 Research aims and objectives

- General aims
- Specific objectives (optional)

Here you indicate what the purpose of the proposed research is. In the case of empirical investigations the general aims usually pertain to what is intended with the literature and empirical research, while the specific objectives are formulated particularly for the empirical research. General aims can also be those of the overhead bigger or multidisciplinary project, while specific objectives will refer to the student's own contribution. A distinction between general aims and specific objectives is optional.

In some cases the aims cannot be formulated before the hypothesis (see 1.8.4) has been developed. The broad aims will then be to test the hypothesis.

1.8.4 Basic hypothesis/central theoretical statement (where applicable)

Formulate the basic hypothesis or expectation of the central theoretical statement (guiding argument).

When the research report is written, the problem statement, aims and basic hypothesis as well as a preview of the deployment of the investigation are usually combined in an introductory, orientating chapter.

1.8.5 Method of investigation

1.8.5.1 An analysis of the literature or sources

For the purposes of the submission this involves only an indication of how and what aspects of the literature will be used. In the research report – not the submission – aspects of the literature only

mentioned in the problem statement are analysed more in depth, evaluated, integrated and used in a line of argument. It is essential for the chapter(s) that is/are reported on here to be presented as a well-integrated literature review. Guard against giving an undesirable “summary” of existing literature.

In qualitative research it is sometimes not possible to do a literature analysis at this stage. The results will be followed up later with a literature check.

Also mention the databases consulted (*see 2.5.5 below*).

1.8.5.2 An empirical investigation (where applicable)

Here you provide an indication how you intend achieving the set objectives, with specific reference to, and a breakdown of

- the **design** (in the narrower sense, for example an inside-group design or two-group design with pre- and post-measurements, or double-blind, placebo-controlled cross-study design);
- the proposed **method** for obtaining the results;
- **co-workers** in the case of multidisciplinary projects;
- **test persons/research group/participants** (characteristics, method, selection and size);
- **measuring instruments** and/or **software**;
- **pilot studies, validity procedures and quality control**;
- **procedures and research methods**;
- proposed method of (statistical) **data processing**;
- **ethical aspects** with indications as to how ethical permission for a specific investigation was or will be obtained;
- **expected outcomes** of the research;
- budget and sources of **funding**.

1.8.6 Provisional chapter division

Only one example is given below. Other chapter divisions are possible. Some faculties might have other definite prescriptions.

1. Introduction/orientation, problem statement and aims
2. Literature survey (name chapters schematically)
3. Empirical investigation (also called experimental investigation)
4. Results

5. Discussion and interpretation
6. Conclusions and recommendations

1.8.7 References

Mention only the sources referred to in the submission.

1.9 Working under the guidance of a supervisor/promoter

See rules **A.7.3** and **A.8.3**.

During the first meeting with the school director (in conjunction with the research director) the student must make sure of the procedure that the proposal will have to undergo up to and including the final acceptance and appointment of a supervisor/promoter.

1.9.1 Guidance to the student by the supervisor/promoter

1.9.1.1 General

Guidance to the student implies that the student will receive help, advice, support and assistance to submit a mini-dissertation/dissertation/thesis that must eventually be seen as the end product of his or her own labour and initiative. Guidance to the student further implies a relationship of trust in which all parties should have the confidence to take a stand openly and freely at a professional as well as personal level and communicate in a responsible and adult manner. However, in this relationship the supervisor/promoter remains the senior partner, which means that decisions and guidance must be accountable at all times. *This necessarily means that the supervisor/promoter, like the student, must remain up to date on the topic concerned.* It is possible and even desirable that the supervisor must also participate in the empirical investigation concerned.

If the supervisor/promoter finds that the study is taking a direction that will deviate from the original scheme, the supervisor/promoter can in the case of smaller changes allow the student to deviate from the original scheme. In the case of a more drastic deviation in the course of the study, the supervisor/promoter and the student must inform the research director concerned, and an assistant supervisor/promoter can even be appointed at this stage if required. In such a case the student can also apply for the title to be changed. *In the case of a drastic change in the contents of a thesis an amended substantiation must be submitted.*

1.9.1.2 Course of the study, volume of work, time schedule and appointments

The parties decide as soon as possible after the appointment of a supervisor/promoter about the following:

Course of the study

It is essential for agreement to be reached about where and with what the student must start. The study can be such that the empirical or experimental part can be commenced immediately. In other cases the theoretical basis of the personal investigation can be started. It is therefore essential for the student to receive very clear guidance about the course of the study.

- **Volume of work submitted**

A further issue that is important here is the volume of work that must be submitted to the supervisor/promoter at a time. It is preferable that a chapter or a part of one be submitted to the supervisor/promoter at a time (particularly in the beginning). This has the benefit that any amendments and changes in direction then do not occupy too much of the student's time.

The supervisor/promoter in consultation with the student decides on the format in which the student's work must be submitted. Normally this will be in typed format.

Time schedule

It is in the interests of the supervisor/promoter as well as the student that a time schedule for the study and/or the mini-dissertation/dissertation/thesis be set. If both parties act in a responsible manner, provision is made, within limits, for deviations from this schedule. The student undertakes to provide the lecturer with a certain portion of the work between two set dates, and the supervisor/promoter undertakes to work through the submission within a certain time and provide the student with the required feedback. The feedback can occur in the form of written comments and suggestions, and/or a personal interview. If the student cannot meet the deadline, he or she must inform the supervisor/promoter in time and an alternative date can be selected immediately. *If the student is of the opinion that the study is being delayed by the supervisor/promoter not adhering to the agreed time schedule, and the student cannot obtain any reaction from the supervisor/promoter after a tactful approach, the student must bring the matter to the attention of the research director or dean concerned.*

Appointments

Appointments are made in writing or verbally and the supervisor/promoter must ensure that enough time is allowed for an in-depth discussion of all aspects of the student's work. Any written pieces that the student would like to discuss with the supervisor/promoter must as a rule be submitted to the supervisor/promoter at least two weeks before the appointment. Obviously, appointments must be strictly kept and if either of the parties cannot keep an appointment, the other party must be informed timeously. Contact between student and supervisor/promoter should occur regularly, preferably six times a year.

Upgrading of a dissertation

A Master's dissertation can be upgraded to a doctor's thesis. In such a case **rule A.7.5.8** must be followed.

1.9.1.3 The nature of guidance to the student

- The supervisor/promoter should make sure that the student is thoroughly aware of the applicable rules, as well as the nature and format of and requirements for mini-dissertations/dissertations and theses. The supervisor/promoter must bring this "Manual for postgraduate study" to the attention of the student. In spite of the prescriptions in this manual, it must be assumed that what the student eventually submits is his/her own work, and the student should therefore be given the opportunity, within limits, to involve his/her own style, points of view and personality in the document.
- *The student must always remember that the identification of sources is the duty of the student and not of the supervisor/promoter.*
- The supervisor/promoter must check the sources at least generally.
- The supervisor/promoter should draw the student's attention to poorly substantiated or formulated statements, but the student must make the improvements himself/herself.
- The supervisor/promoter should not correct language errors, but guide the student towards using the correct scientific language and a scientifically acceptable technical finish. The supervisor/promoter should also ensure that the technical language is up to standard.
- The supervisor/promoter should not rewrite portions of the work, but point out shortcomings to the student and provide guidance for correcting these.
- The supervisor/promoter should mainly provide only general criticism and comments on the technical finish and methods and allow the student to correct this himself/herself.
- Before the mini-dissertation/dissertation/thesis is submitted for examination, the supervisor/promoter works through it carefully. In practice the supervisor/promoter works through the document several times and provides the student with comments and suggestions. Only when the supervisor/promoter is satisfied with the structure and standard of the work will permission be given for the mini-dissertation/dissertation/thesis to be prepared as a manuscript, copied and bound for submission.
- *The supervisor/promoter must ensure that the mini-dissertation/dissertation/thesis is properly language edited.*

- The supervisor/promoter and student should set a date on which the final, revised or corrected version of the document should be supplied to the supervisor/promoter so that the final finishing off can be easily completed by the dates applicable to the next graduation ceremony. The official timetable is the decisive factor.
- **The supervisor/promoter must undertake to adhere to the code of conduct for promoters and supervisors that are provided in section 3 of this manual.**

1.9.2 Functions of the co-supervisor/promoter or assistant supervisor/ promoter

The supervisor/promoter can request that a co-supervisor/promoter or an assistant supervisor/promoter be appointed for the study. A co-supervisor/promoter is usually involved fully in the course of the study in consultation with the supervisor/promoter. If discussions are held about the study, the co-supervisor/promoter must be involved at all times.

The assistant supervisor/promoter is often involved in the guidance with regard to aspects of a specific study. When a study has a clearly interdisciplinary character, an assistant supervisor/promoter from another discipline is appointed for practical and technical reasons. A postgraduate student is free to request the supervisor/promoter to appoint a co-supervisor/promoter or an assistant supervisor/promoter for the study.

The supervisor/promoter remains the chief person responsible for the student.

1.9.3 Termination or extension of study term

See rule **A.7.7 & A.8.7** about the possible termination or rule **A.7.6 & A.8.6** for the possible extension of the study term.

1.10 Submission and examining procedure

1.10.1 Submission

See rules **A.7.5.4** and **A.8.5.4** for rules with regard to the submission of the mini-dissertation/dissertation/thesis.

At least six months must pass from the approval of a mini-dissertation/dissertation/thesis until that mini-dissertation/dissertation/thesis is submitted for examining purposes.

Students are often so busy completing the mini-dissertation/dissertation/ thesis that they lose sight of the submission procedure, and then experience serious problems at the last minute. If the steps below are followed in time, there should be no problems.

1.10.1.1 Submission date

See rules [A.7.5.4.1](#) and [A.8.5.4.1](#)

Students' attention is drawn to the fact that it is in their own interests to adhere to submission dates, as late submission can mean that the examining process is delayed and that the conferral of the degree is postponed to the next graduation ceremony. This can imply that the student **might have to register again for the following year**.

1.10.1.2 Requirements for submission

See rules [A.7.5.4](#) and [A.8.5.4](#)

1.10.1.3 Submission methods

- Electronically with at least one hard copy.
- Hard copy format.

Process for submissions, please see the Masters' and doctorate degree students: Guidelines for submission of (mini-)dissertations/thesis for examination.

1.10.1.4 Notice of submission

Three months before submission the student must inform the registrar in writing of the intention to submit the mini-dissertation/dissertation/thesis for examining so that the Academic Administration can make sure that all the required administrative matters have been dealt with.

- Send the notice to the registrar and mark it for the attention of the administrative manager of the faculty concerned.
- Deviation from the above can lead to the conferring of the degree being postponed and a student having to register again for the following year.

1.10.1.5 Authorisation for submission

See rules [A.7.5.4.4](#) and [A.8.5.4.4](#)

If the supervisor/promoter is not satisfied with the quality of the document, but the student insists on it being examined, the supervisor/promoter can bring the view of the supervisor/promoter to the attention of the dean in writing in order to retain examining discretion, while the dean can agree to

submission after having signed the statement. The student is then informed that submission occurs at his/her own risk.

1.10.1.6 Copies for examining

*Candidates may bind copies of the thesis, dissertation or mini-dissertation being submitted for examining and cognisance in **soft cover**. These soft cover copies must be bound. Copies with a spiral or ring binding are permissible in this phase. The number of copies that are required is equal to the number of examiners plus one for the library.*

See rules **A.7.5.4.6** and **A.8.5.4.6** with regard to the copy in the library.

*After examining, **hardcover copies** must be submitted to Academic Administration: four copies for the library and one copy for each examiner.*

If a student fails to submit these hardcover copies, the degree certificate will be held back until this requirement has been met.

1.10.2 Examining procedure

See rule **A.7.5.3 & A.8.5.3** for the number of examiners.

Example: Promoter A and co-promoter B are both examiners. Two further examiners must be nominated, at least one of which must be from outside the university.

The names of the examiners of the mini-dissertation/dissertation/thesis are not revealed to the student before the examining process has been completed. After the examining copies of the mini-dissertation/dissertation/ thesis have been submitted, the supervisor/promoter or co-supervisor/promoter or assistant supervisor/promoter may not contact or negotiate with the examiners.

See rules **A.7.5.5.2** and **A.8.5.5.2** for ambiguities that can be cleared up by the dean.

The examiners assess the mini-dissertation/dissertation/thesis among other things by evaluating the following aspects:

The topic:

- Was the topic selected demarcated meaningfully, appropriate and worthy of research?
- Was the research design scientifically based?

Problem statement, aims and, where applicable, hypotheses or central theoretical statement:

- Were they formulated clearly and unambiguously, do they link up and have a bearing on one another?

- Is the problem statement scientifically relevant and are the aims clear?

The research method:

- Does the study show that the student adequately controls the theoretical basis?
- Is the research method suitable, selected in a critical and accountable manner and described clearly?
- Does it seem as if the student properly controls the methods and/or techniques as well?
- Is the student's own contribution clear in the case of a multidisciplinary study or project? Scientific processing, content and contribution that the work makes:
- Is the work systematic, logically developed and well structured and balanced?
- Do the chapters form meaningful units?
- Does the content reveal in-depth knowledge of the research field?
- Does it seem as if the student can interpret and argue in a scientific manner, discuss different views and theories critically, and where necessary state and provide a basis for his/her own views?
- Is the final summary meaningful and does it reflect the spirit of the study clearly?
- Is the relative meaning of the study presented briefly?
- Do the conclusions fit in with the problem statement and aims of the study?
- Does the student make meaningful recommendations that can be followed up by other studies?
- Does the student provide meaningful and convincing solutions to problems?
- Are the aims set achieved satisfactorily?
- Is adequate attention given to the internal as well as external validity of the findings and interpretation?
- Does the work display originality with regard to the retrieval and/or development of knowledge?
- Can the work or parts of it be published?
- Is the work subject-philosophically and scientifically theoretically accountable (where applicable)?
- In the case of theses, is proof given of a definite contribution to the knowledge of and insight into the subject, and does the work provide proof of independent thinking and that the student has a special ability to work and conduct research independently?

Study of sources:

- Does the student provide proof of a thorough knowledge of the related literature and of an argumentative, critical and integrated handling of it, or is the literature merely used as far as it supports the student's own views? Was the right available and related literature consulted and used in an acceptable manner?
- In the case of qualitative studies, was adequate literature review carried out?

Language and style, technical composition, care and finish:

- Is the student's style of writing and expression up to standard, and can the text be read easily (with respect to font size, typing format and spacing) and was it language edited?
- Does the mini-dissertation/dissertation/thesis, as far as technical care is concerned, comply with the requirements (title page, table of contents, footnotes, reference technique, graphs, figures and tables, list of sources)?
- Does the document contain a summary in Afrikaans/English as well as annexures of relevant research documents?
- Are the printing and binding up to standard?

Examiners are referred to the rules of the faculty concerned for possible weights and/or sub minimums for certain subsections.

Each examiner must make a clear recommendation on the basis of the evaluation.

See rule A.7.5.5.5 for possible recommendations that an examiner for Master's degrees can make.

In the case of a mini-dissertation/dissertation a definite **mark** is awarded. The student must obtain at least 50% in the mini-dissertation/dissertation to pass. If exam papers are required together with a dissertation for a Master's degree, the at least have 50% is referred for each paper, while 50% for the dissertation and an average exam mark of at least 50% is required to pass. A Master's degree can be awarded cum laude.

*Reports by the various examiners (including that of the supervisor) must be submitted **individually** to the Academic Administration.*

The supervisor draws up a summative score sheet (co-signed by the research director) and submits it to the Academic Administration for forwarding to the administrative manager of the faculty concerned.

See rule A.8.5.5.3 for possible recommendations that an examiner can make for doctorates.

Reports by the various examiners (including that of the promoter) must be submitted **individually** to the Academic Administration. This means that the supervisor cannot study the reports of the other examiners before submitting his/her own report.

1.10.3 Difference of opinion between examiners

See rules **A.7.5.6** and **A.8.5.6** in the case of a difference of opinion between the examiners.

The dean does what is required to obtain a result. This might entail:

- *accepting the recommendations of the majority of examiners; or*
 - *holding discussions under the guidance of the dean between the examiners and other persons who might be of assistance in order to obtain clarity; or*
 - *nominating further examiners; or*
 - *as a final solution, referring the mini-dissertation/dissertation/thesis for resolution to an arbitrator.*
- See rules **A.7.5.6** and **A.8.5.6**.

1.10.4 General

The student should take note that no student may know the identity of the examiners, and under no circumstances may they have any contact with the examiners.

1.11 Publication of research

Postgraduate students are urgently reminded that it is in their own **and** the interest of the university for their research to be released on a wider front through research publications if possible.

See rules **A.7.8** and **A.8.8** for the relevant information.

2 COMPILING THE MINI-DISSERTATION, DISSERTATION OR THESIS

2.1 The components of a mini-dissertation/dissertation/thesis

Any mini-dissertation, dissertation or thesis should be compiled according to a clear plan and in such a way that the layout is immediately clear to the reader. The following is an example of how a mini-dissertation/dissertation/ thesis can be compiled:

- title page
- abstract (“*uittreksel*”)
- preface
- table of contents

- introduction
- sections of the text
- closing chapter
- annexures
- illustrations (can also be distributed in the text)
- bibliography.

2.1.1 Title page

On the title page of the mini-dissertation, dissertation or thesis the following appears in this sequence:

- Title as approved by the dean
- Full initials and surname of the student
- Wording pertaining to the degree (see examples in the annexure to this manual). This wording does not refer to the faculty or school, but only to the subject (e.g. for a thesis in Biochemistry the Natural Sciences Faculty or School of Chemistry and Biochemistry is not mentioned, but only Biochemistry) and the University. In all cases, including mini-dissertations/dissertations/theses written in English, the registered name of the University is used, namely North-West University. **Exceptions:** In the case of mini-dissertations and dissertations for degrees like **Magister Musicae**, **Magister Bibliothecologiae** and **Magister Artium et Scientiae [Planning]**, which must be indicated as such in the wording, the subject can be omitted.
- All supervisors (including co-supervisors and assistant supervisors) and all promoters (assistant and co-promoters) must be indicated. Please note the following Afrikaans and English names:

ENGLISH	AFRIKAANS
Supervisor	Studieleier
Co-supervisor	Medestudieleier
Assistant Supervisor	Hulpstudieleier
Promoter	Promotor
Co-promoter	Medepromotor
Assistant promoter	Hulppromotor
Mini-dissertation	Skripsie
Dissertation	Verhandeling
Thesis	Proefskrif

Month and year. ***The indication of the month and year (in which the degree was conferred) at the bottom is required.***

Page layout

The page layout (including the typeface) is optional, provided the required wording is followed. Refer to the prescriptions of the library for copying and microfiche for page layout and technical care. The **annexure** at the end of this manual contains the various possibilities for page layout.

2.1.2 Preface and acknowledgements

The preface, which does not form part of the content of the mini-dissertation/dissertation/thesis, should not be confused with the introduction. In contrast to the introduction, which is **brief**, the preface is used for **personal** comments about the conditions in which the research was conducted and about persons and institutions that provided assistance. The required acknowledgements, if any, are therefore given in the preface. If it comprises only acknowledgements, it can be placed at the front or back of the document under the heading "Acknowledgements". The style and nature of the preface should be sober.

2.1.3 Summary and key terms

See rules **A.7.5.4.2** and **A.8.5.4.2** with regard to the bound summary and list of key terms.

A dissertation/mini-dissertation/thesis a summary of a maximum of 300 words.

The summary should contain a brief and relatively complete version of the line of argument of the mini-dissertation/dissertation/thesis. The aim, method and core of the findings must be set out in the summary.

The summary is intended for publication in an abstract journal. It does not form part of the text and can be placed either between the title page and the table of contents, or between the final chapter and the bibliography.

2.1.4 Table of contents

The main heading is "Table of contents" or just "Contents". If the table consists of more than one page, the pages are numbered in lowercase Roman numerals and each bears the heading "Contents (continued)". We strongly recommend that the **decimal system** be used, like in this manual, as it has an inherent logical sequence. The page indication in the table of contents must appear on the right-hand side of the page.

A review of photos, maps, illustrations and/or tables sometimes have to be made if the document contains a lot of them and they are referred to often in the text. The headings "Illustrations" or

“Tables”, or whatever the case may be are used for this purpose. If text figures and plates (see 2.1.9 below) are used as illustrations, these illustrations are classified into two sections under these headings.

The captions for the photos, maps, tables of illustrations and their numbers and letters in the review should correspond exactly with those in the text.

If the captions are too long to be given comfortably in such a list, summaries can be used, provided the heading is then changed to “Illustrations (short list)” or something similar. Each caption relating to a figure or table in the text must refer to the relevant page number in the text.

2.1.5 Introduction

The function of an introduction to a mini-dissertation/dissertation/thesis is to introduce the reader to the topic of the mini-dissertation/dissertation/thesis, to indicate what previous work has already been done, what the problems are and why they were investigated, so that the reader can be prepared for reading the text and evaluating the results and findings. The following matters are normally discussed in the introduction – not necessarily in this sequence:

- Problem statement, i.e. an explanation and substantiation of the choice and relevancy of the topic, the aim of the investigation, etc.
- Literature review of previous research in this field and of shortcomings that still exist.
- Demarcation of the field of study.
- Breakdown of sources, methods and procedures regarding the investigation.
- Definitions of terms.
- Explanation of a certain viewpoint or approach.
- A statement with regard to the further breakdown of the topic and/or the structure of the mini-dissertation/dissertation/thesis.

2.1.6 Sections of the text

The text of each mini-dissertation/dissertation/thesis must be divided into certain sections, while each section is subdivided into subsections. As no set prescription for this division that will apply in all cases can be given, the general term used here is “sections”. The division of each mini-dissertation/dissertation/thesis will primarily be determined by factors like the nature and method of the subject and/or subject group involved, the nature of the topic and the data obtained by way of research with respect to the topic. The most common division is that of **chapters**, which have to be duly numbered and provided with headings. A document can also be divided into **parts** and **sections** (indicated as Part I, Section II, etc.), and each section is then divided into chapters. Each chapter can

also be divided into subsections etc., depending on what is required. In this regard the student will find the advice of the supervisor/promoter indispensable.

The division into sections (or chapters) of a text is extremely important, as it determines the shape of the mini-dissertation/dissertation/thesis to a great extent. For this reason the student should pay particular attention to this aspect. There is **one rule** that applies to all writers of scientific documents: the division should be **simple, clear and effective**, so that it gives a clear indication at first glance of what each individual section and eventually the whole document involves. The division should be made in such a way that each section contains only the information relevant to it, and all the sections must be arranged so that the required unity is accomplished and emphasised. Because the supervisor/promoter has to assist the student with the division, the supervisor/promoter must always be kept up to date on the progress of the research.

On the other hand, the student should guard against using too many and small divisions, as these can confuse the reader rather than help him, and they needlessly complicate the document. Too many sections and subsections also hamper the fluency and legibility of the text. As the ranking of sections and headings is usually adequate, the headings in the text should be limited to the following as far as possible:

- Primary headings, usually written in uppercase (e.g. chapter headings)
- Secondary headings
- Tertiary headings

The decimal numbering system is excellent for reflecting the relationship between these three types of headings. Normally it is meaningful to use no more than four, and in exceptional cases five, decimals, for example 2.1.3.2 or 2.1.2.3.1, but not 2.1.2.3.1.7.

In addition to sections, the text should also contain a logical system of **paragraphs**. These are indicated by leaving two line spaces between consecutive paragraphs.

The fact that a text is divided into paragraphs is an indication that the author has analysed the material for the reader and has set it out in units that the reader can understand. Paragraphs are a necessary concession to the natural limitations of the human attention span; consequently the length of paragraphs is determined by means of careful and sympathetic consideration of the complexity of the topic and the knowledge and experience of the person who has to read the document.

A paragraph is not an isolated, unrelated breakdown of a single thought or idea, but usually fits in with a relatively complex structure of which it is only a component part. The author should therefore be able not only to use the paragraph throughout as a cohesive, united discussion of a single aspect or view, but also to indicate carefully and clearly the link between the paragraph and the paragraph system in the text.

Guard against presenting the same information in tables as well as figures. Tables should be fully comprehensible as separate units.

2.1.7 Closing chapter

A closing chapter is essential for any mini-dissertation/dissertation/thesis. In the first place it must provide a summary of the deductions, conclusions, viewpoints, etc. that arose from the argument. As each chapter could also end with a summary, that in the closing chapter should be at a different (higher) level. However, this chapter should be more than merely a summary. The summary should be used to draw a final conclusion on the essence of the investigation. The student's own view on the matter should be stated as clearly as possible in conclusion. The insights and standpoints of the student that are spread throughout the text should be brought to a final synthesis here. The closing chapter should indicate clearly whether the gaps in the literature have been filled, and whether the research objectives have been achieved. This chapter is the final proof of the student's mastery of the topic. Recommendations on further research should also be made.

2.1.8 Annexures

Annexures are particularly valuable for presenting data that cannot be included in the text or footnotes for some reason, but without which the text cannot be fully understood. This applies particularly to extensive descriptions, the content of sources (documents) that are not published elsewhere and/or are not easy to obtain, tables, mathematical arguments on which conclusions are based, different kinds of maps, questionnaires, etc. Such annexures are usually indicated only as "Annexure", and if there is more than one, as "Annexure A", "Annexure B", etc. *Annexures should be used extremely judiciously and students should consult their supervisors/promoters in this regard.* Permission sometimes has to be obtained from publishers to include certain material in an annexure.

2.1.9 Illustrations

Many mini-dissertations/dissertations/theses contain a large variety of illustrations, depending on the nature of the subject concerned. Such illustrations are found particularly in natural sciences and technical documents.

In illustrations in natural sciences mini-dissertations/dissertations/theses, a distinction is made between **text figures** and **plates**. A text figure is a line drawing that is placed in the text on a text page. If for some reason a text figure or any other photographic illustration that can be classified as a plate cannot be included in the text, it can be included after the annexures. The reason for this is that if these illustrations are placed in the text, they might disrupt the text pagination and might make the document difficult to type and bind. Each plate is usually provided with a separate page containing the number and caption of the plate concerned.

However, modern computer technology and word processing and graphics programs now make it possible to place all text figures and plates in the text as text figures. Pagination and figure numbering (below the figure or plate) continues normally.

As a rule, illustrations in natural and human sciences mini-dissertations/ dissertations/theses are included in the text, more or less at the location in the text to which they refer. Larger illustrations, for example maps that have to be folded can also be placed separately at the end of the document, even as an annexure. If multiple illustrations are used, it is recommended that a list of such illustrations, together with an indication of where they appear in the text, be included after the table of contents.

If different types of illustrations are used, they can even be included in separate lists under separate headings, for example "Maps", "Graphs", etc.

If illustrations are included in the text and take up an entire page, the page is numbered as normal.

2.1.10 The bibliography

The literature references in the text must be supported by a bibliography containing full bibliographical details of the works referred to in the text. This list of sources is placed right at the end under the heading "Bibliography", "Literature list" or "List of sources". The bibliographical style used for this purpose is no random matter, however. See paragraph 2.6.3 for prescriptions in this regard.

In a few cases it might be necessary and/or desirable to provide a full bibliography on the topic, even if all the sources are not directly referred to in the text.

2.2 Guidelines for submitting a dissertation/thesis in article format

The following information is presented in the dissertation/thesis:

- *Title page as prescribed in 2.1.1 above.*
- *Acknowledgement.*
- *Table of contents of the dissertation/thesis.*
- *Abstract with 5-10 key words.*
- *Preface comprising the following:*
 - *A statement that the article format has been selected*
 - *The student's share in the research in the case of co-authors for the article(s)/manuscript(s)*
 - *An indication of the journal to which the article(s)/manuscript(s) was/were submitted if it/they has/have not yet been published*

- *Permission from co-authors that the article(s)/manuscript(s) can be submitted for degree purposes*
- *Permission from the editor of the technical journal if any copyright is involved*
- *If more than one article/manuscript is used, the dissertation/thesis must be presented in a scientific unit format. See **rule A.7.5.7.4** for details.*
- *Depending on the study field involved, the supervisor/promoter can also require other items like a literature review. Each article must be preceded by a copy of the guidelines for authors for the journal concerned.*
- *When a dissertation or mini-dissertation or a part or summary or an adaptation thereof by the student is published, mention must be made of the fact that it results from a master's degree study at the University and, where applicable, the name of the supervisor(s) as co-author(s) must also be mentioned. See rule A.7.8.5 and A.8.8.4*

2.3 Use of sources and the danger of plagiarism

(See also item 4 of this Manual)

The student's use of sources is of vital importance, particularly if a mini-dissertation/dissertation/thesis requires an in-depth literature study. The information, viewpoints, thoughts, etc. of other authors are permissible only if they are **functional**, i.e. if they contribute towards clarifying the argument developed in the study.

The use of sources for the **information** they provide is the simplest way of using sources, for example the statistics on the number of graduating medical doctors in 1998 in the **Statistical Yearbook**. However, as soon as the views and interpretations of other authors are involved, the use of sources becomes more problematic. In such cases the views of other authors may be included in the argument of the mini-dissertation/dissertation/thesis to fulfil the following functions:

- To indicate that the student's view is shared or confirmed by expert authors in this field.
- To become involved in a critical discussion with such authors – in this way the student's views gradually become clear.

Sources may not be used for "decoration". The student should indicate that the view of the expert author supports the **essence** of his argument.

The student may also not use sources to make his views a mere combination of those of other authors. This constitutes compilation.

A **discussion** should be held with the sources, i.e. the student should identify the core moments of the other author's views and assess them on relevant grounds. An incomplete version of another's views,

or a distorted version, or presentation outside the context in which they were originally formulated, simply is not acceptable. Another person's views may not be misused by being represented as the student's own. If another person's published work is used without acknowledgement or permission, and presented as the student's own work, it constitutes plagiarism and violates copyright.

Candidates must take note that dissertations and theses submitted for examination must throughout be their own work. A candidate using sources in respect of which the copyright belongs to someone else (usually the writer, compiler, creator or publisher thereof) makes himself/herself guilty of copyright infringement and/or plagiarism where he/she, for instance, literally (*verbatim*) incorporates the contents of such sources into a dissertation or theses or uses somebody else's ideas without any reference to or acknowledgement to the author or creator thereof. Even if there is no *verbatim* quotation from a particular source, it may still not be used in such a way that the candidate essentially proffers the work of another as his/her own work. This would also amount to the infringement of copyright and/or plagiarism. Any person guilty of copyright infringement is subject to legal action in terms of the Copyright Act 98 of 1978, which may include civil and/or criminal proceedings. Furthermore, the University may also take disciplinary action against a student who transgresses the relevant provisions of the Act. Plagiarism is a *delict* (wrongful act) that could also lead to legal action against the perpetrator and disciplinary steps by the University.

Apart from the legal position, the University reiterates that infringement of copyright or the presentation of the work or the ideas of someone else as one's own work, is morally blameworthy, tantamount to academic dishonesty and contrary to the ethos of the University as a value-driven institution.

To summarise: the principle of **functionality** determines whether a particular source must be included or omitted. The question to be asked is: can this source contribute as a source of factual information, as an expert authority for a view held by the student, or as a discussion partner that enables the student to use his criticism of the authority to clearly outline his own views.

2.4 Primary and secondary sources

Science clearly distinguishes between primary and secondary sources. A primary source can be defined as a work that, with respect to the topic being dealt with, provides **original** information. A secondary source is a source containing second-hand information, for example an author wants to write about Bavinck's views on the church, but instead of quoting Bavinck's sources themselves, he uses the sources that other authors like Honig, Jansen and Kooiman have written about Bavinck's views on the church. Honig, Jansen and Kooiman are then secondary sources.

A student would be wise to use as few secondary sources as possible.

If the student has read the primary sources and has given his/her own version of the facts, he/she can, if required, use secondary sources. This is done, for example, to support the student's presentation of

Bavinck's views, or to indicate that one or more of the secondary sources' views on Bavinck's work are incorrect.

There are exceptions to the above rule. For example, the works of Celsus are lost. The church father Origenes differed extensively from Celsus. From the writings by Origenes it is clear that Celsus wrote a book, **Logos Alethes**, against Christianity, and what Celsus wrote in this book. In such a case it is naturally permissible for Celsus' views to be presented from the writings of Origenes, the secondary source, but the reasons why this is being done should be explained.

Another exception is the case where a primary source is inaccessible to the student as it is written in a language, e.g. Russian or Chinese, that the student cannot read. In theology, for example, a student has to give a historic overview of the topic, and the views of church fathers that are available only in Latin must be presented.

Another exception is the deliberate use of review articles to summarise a very wide field of literature.

2.5 Quotations

It is sometimes essential and unavoidable to quote from the sources used. Guard against using too many quotations. Many and extensive quotations can **detract** from the scientific quality of a document and can point to the student's inability to render original work. A mini-dissertation/dissertation/thesis is not a compilation of other people's views, acting as ventriloquists for the student. The following guidelines can be used for quotations:

- Direct quotes should be used only if they are indispensable.
- A quote is regarded as **indispensable** if the words of the author concerned must speak for themselves in the circumstances concerned.
- Guard against a series of quotations that can interrupt the line of argument.
- Quotations from foreign languages should be used sparingly, particularly if the writer knows that it is improbable that the reader will be familiar with such languages. In all cases the translation should be given in the language of the mini-dissertation/dissertation/thesis.
- Quotations should be placed between double inverted commas, and if a quote is longer than six lines, it should be placed in a separate paragraph. If a quote consists of more than one paragraph, each paragraph must start with inverted commas, but closing commas are provided only at the end of the last paragraph of the quotation.
- Quotations given in separate paragraphs can be typed in single spacing and even in a different font. Italics are used increasingly in sentences instead of a series of quotation marks in order to clean up the text.

In the natural sciences literature can be conveniently summarised in tables.

2.6 Documentation

Documentation in a mini-dissertation/dissertation/thesis can be described as the accounting of the student's study of the literature used in the research.

Research results, arguments and views of other persons, as reflected in various types of publications, are an important component of each mini-dissertation/dissertation/thesis. The way in which the student deals with this literature is therefore extremely important. It quickly reveals how thorough, honest and accountable the scientific work is.

2.6.1 What should be included in the bibliography?

An important question that faces every student at some time or another is: what works should be included in the bibliography? Only the works referred to in the text, or other works consulted, but not referred to, as well? Candidates should not try to impress examiners with an extensive bibliography. In most cases the examiner easily detects whether the student uses this deception technique. If this happens, it reflects negatively on the student.

The rule is that the bibliography must consist of the works referred to in the text, as well as other works that really contributed to the shaping of the student's insights. If the student for some reason wants to include more than these two categories of works (for example if the aim is to provide a complete biography on the topic), this should be clearly substantiated. It would be easy to distinguish these categories of works in separate sections in the bibliography. However, this method might make it difficult to follow up text references quickly. The best solution is therefore probably to retain one integrated bibliography, but to distinguish with an asterisk those works are actually referred to in the text.

A practical issue with which all writers of mini-dissertations/dissertations/ theses are faced is whether **every** figure, statement or explanation found in a source should be documented. If this is done, the task becomes impossible!

Unfortunately, no fixed rules can be given. The student, in conjunction with the supervisor/promoter, should strike a balance between the one extreme of documenting literally everything and the other extreme of providing virtually no documentation. The general guideline should be to **document the essential**. A few general guidelines are given below.

2.6.2 General guidelines

In general the following should receive attention when sources are dealt with:

- *All sources that a student uses in the course of the study (particularly when the views of a specific person are referred to) should be acknowledged in the footnotes or bibliography.*

- *The student should refer to a source if some doubt exists about or if a certain issue is controversial.*
- *The student should refer to a source if information such as statistics is used without the student having tested the correctness himself.*
- *The student should show clearly how the material obtained from the sources has been used. Does the student agree with the information, reject the point of view, or only want to indicate that the source concerned thinks the same as other sources about the issue? Is the information used only to obtain information, e.g. about the boiling point of a liquid?*
- *References to more than two or three authors on a certain topic are superfluous, except if they have to serve a certain purpose in the course of the argument.*
- *Earlier prints/editions of a work should not be used if a later edition is available, except if it has to serve a certain purpose in the course of the argument*
- *Quotations from translated works are generally undesirable and should be limited.*

2.6.3 Documentation or reference technique

*All text references should be supported by a bibliography at the back of the mini-dissertation/dissertation/thesis, containing the complete bibliographical particulars of the sources used. This bibliography consists of **one single alphabetical list** (alphabetical according to the surnames of authors) of all the books, journal articles, newspaper articles and other material that were used. If the bibliography is divided into columns or sections, for example if the journal articles are not included in the same alphabetical list as the books, the entire system of text references is affected. The examiner should be able to move quickly from the reference in the text to the place in the bibliography where the complete bibliographical data on the work concerned is given. This is almost impossible to do with a bibliography divided into sections. An alphabetical list is therefore essential.*

For more information on the correct way to refer to sources, please consult the brochures *Quoting Sources or Verwysings* at the various libraries of the NWU.

The reference technique recommended by the senate is based on a system of references in the text instead of footnotes. This corresponds with the guidelines by the International Organisation for Standardisation (ISA).

A manual with recommendations for using the Harvard technique is available from the Ferdinand Postma Library.

Law students, students in Classical Languages, German, History and the natural sciences are referred to 2.6.4: Exceptions.

The source as well as the pages referred to is given in the text. An example would be the following:

This view is rejected by Stoker (1972:10-104) as inadequate recognition is given to the legal nature of reality.

The reference can also be given at the end of the sentence:

The percentage of schools that function well is too low (Thompson, 2000:12).

These text references should then be supported by a bibliography at the back of the mini-dissertation/dissertation/thesis, in which full bibliographical details of the works referred to are given. This system of text references does not mean that footnotes may no longer be used, but only that **bibliographical references** may no longer be given in footnotes. Other types of notes, e.g. explanatory notes or remarks that would interfere with the line of argument in the text, are still used. The condition is just that these notes should appear at the end of each chapter and not at the bottom of the page on which the reference appears. These notes and remarks should be placed at the end of each chapter under the heading "Notes".

2.6.4 Exceptions

Various subject fields cannot be accommodated by the Harvard method. Arrangements for these fields are explained below. This naturally has consequences for the bibliography as well (see 2.7.4).

Legal sciences

As far as the Law Faculty is concerned, the style is followed as set out in the style prescriptions for the *se Elektroniese Regsblad (PER)*, which can be found on the Internet at <http://www.puk.ac.za/opencms/export/PUK/html/fakulteite/regte/per/index.html>

This method means that footnotes are used to provide references. The source and the pages referred to are given in a footnote. The relatively extensive use of footnotes is unavoidable in legal research. Among other things because of their close bearing on the text, footnotes should be placed on the same page as the text reference and not at the end of chapters. These footnote references must be supported by a bibliography at the end of the mini-dissertation/dissertation/thesis, containing full bibliographical particulars of the works referred to.

The bibliography should comprise the following:

1. *An alphabetical list (according to the surnames of authors) of all the books, journal articles and other material used*
2. *An alphabetical list of court decisions (in civil actions alphabetically according to the first name of the case and in criminal cases according to the name following the R or S)*

3. *An alphabetical list of legislation (according to the first word of the name of the act).*

Classical Languages (Greek and Latin)

The Harvard method can be used only partially for references in the Classical Languages, namely with respect to secondary sources. References to the classics should be provided according to the following standard and internationally accepted method:

- The text will refer to a footnote by way of a number. Such footnotes must be located at the bottom of the page concerned for the reader's convenience and control.
- The footnote should provide the following information on the reference: the author, the standard abbreviation for the title of the work, the number of the book, the chapter number and the paragraph number. This reference technique enables the reader to check the reference in **any** edition and not necessarily in the edition used by the student.

Example:

3)

Vergilius, **Aeneis**, 7, line 27.

12)

Luk. 5. 21-26.

- The bibliography should clearly distinguish between primary (classical) and secondary sources, which are given in two separate alphabetical lists.

With respect to secondary sources the rules as set out in the **Manual: bibliographic style** applies. The bibliographic description for classical works is as follows:

1. CICERO, Marcus Tullius. **Epistulae ad familiares**. (Oxford Classical Texts). Oxford: Clarendon Press. 1964.
2. AUGUSTINUS, Aurelius. **Confessiones**. CSEL 33. (CSEL 33 = *Acknowledge abbreviation for well-known series. The date and place of publication are not important here*).
3. BEDA VENERABILIS. **De orthographia**. CC 123 A.
4. ALCUINUS. **Epistulae**. MGH,Epp. IV.
5. HAYMO of Auxerre. **Homiliae**. PL 118.
6. VERGILIUS MARO, Publius. **The Aeneid of Virgil**. Books I-VI. Ed. T.E. Page. London: Macmillan. 1964.

German

- The reference technique for dissertations and theses in German is that given in:

BANGEN, G. 1981. Die schriftliche Form germanistischer Arbeiten. 8. durchgesehene Aufl. Stuttgart: Metzler.

History

Historical works use the reference technique developed by Prof. P.J.J. Prinsloo: **Verwysingsriglyne vir Geskiedenisstudente** (Vanderbijlpark, Vaal Triangle Campus of the PU vir CHO, 1996).

The extent to which the student may deviate from the prescriptions by Prof. Prinsloo must be arranged with the supervisor/promoter beforehand.

Natural sciences

The student may use the reference method as prescribed for leading technical journals. However, supervisors/promoters must ensure that the reference method is used correctly.

Business Psychology and Business Sociology

The APA style must be used as prescribed in **Publication Manual of the American Psychological Association** (Fourth Edition), 1997, Publisher: American Psychological Association, Washington.

2.6.5 Electronic retrieval of knowledge

Students are reminded that the Ferdinand Postma Library can assist them in tracing information like publications electronically. To use this service, the student must make an appointment with the subject librarian concerned for an electronic search of the literature. At the first meeting a search is conducted on the HSRC's Nexus. This also provides information on possible overlapping of the topic of the mini-dissertation/dissertation/thesis with existing mini-dissertations/dissertations/theses. The topic is researched on all relevant South African and international databases. Assistance is also given with searches on the Internet database and on the Internet itself. The first appointment lasts about two hours.

During subsequent appointments attention can be given to gaps revealed by the first searches.

2.7 Technical aspects

2.7.1 Language and style

2.7.1.1 Language editing

It is a basic requirement that the language and style of a mini-dissertation/dissertation/thesis must be correct. Adequate guidelines exist for the correct use of the language in which the mini-dissertation/dissertation/ thesis is being written, but it is not possible to provide fixed rules for the most suitable style of writing a mini-dissertation/dissertation/thesis. The writer must meet two requirements,

however: the information must be conveyed to the reader in a clear, careful, logical and unambiguous manner, and this must be done in a nice, well-finished and correct manner.

The selection of the right words, the formulation of well-constructed sentences and the combining of sentences in systematic and logical paragraphs are essential to retain the reader's active and concentrated attention. Briefly it means that the writer must arrange the information in such a way that the reader gets it in units that are not so brief that they interrupt the flow of the presentation, but are not so long or complicated that they are confusing or allow the reader's attention to wander. The main aim of the writer should always be consideration for the reader.

Most of the obvious errors in sentence construction arise when the writer tries to write too concisely and omits words that are essential for a good understanding of the information being presented. This links up with inadequate use of a good explanatory dictionary.

Mistakes that occur in mini-dissertations/dissertations/theses are in many cases the result of incorrect use of the written language. This includes spelling and punctuation errors, -isms and incorrect words. Because the premise is that not all students necessarily possess an adequate knowledge of language usage, it is a **requirement** that the language of mini-dissertations/dissertations/theses must be edited by a competent language editor.

Language editing primarily remains the responsibility of the student. However, the supervisor/promoter should ensure that the student has the mini-dissertation/dissertation/thesis edited. Poor language usage necessarily leads to doubt about the scientific quality of a mini-dissertation/dissertation /thesis.

2.7.1.2 Language of mini-dissertations, dissertations and theses

The choice of language should be in accordance with the language policy of the University.

2.7.2 Word processing and duplicating

2.7.2.1 Recommendation

With computers being commonly available, it is essential for students to use word processing. This facilitates correction and final completion of mini-dissertations/dissertations/theses.

2.7.2.2 Format and length

The format in which the mini-dissertation/dissertation/thesis must be printed, must be determined beforehand. Two possible formats are acceptable:

A4 format is 210 x 297 mm and may be printed on both sides of the paper. The typing must make provision for margins: approximately 2,5 cm on the left and approximately 2 cm on the three other

sides, i.e. the page number must be included. **A5 format** is approximately 147 x 210 mm and may be printed on both sides of the paper, with about 2,0 cm for margins.

Printing in double line spacing is acceptable if one-and-a-half spacing is not possible. A font size 11 may be used. The fonts **arial** or **times roman** are recommended because of their legibility.

No specific rules about the length (minimum and maximum number of pages/words) for a mini-dissertation/dissertation or thesis, for each faculty have their own rules for each type of research that is done.

Page numbers may appear at the top or bottom of a page, and typing them in the middle of the page eliminates confusion.

2.7.2.3 Printing/duplicating process

It is important to determine beforehand what printing process will be used, as all printers do not use the same processes and each of these processes has different requirements.

2.7.2.4 Tables, graphs, sketches and photos

If tables and sketches are drawn by hand, a black rolling ball pen provides the best results – felt-tipped pens do not always work well. The blacker the lines, the better the print quality will be. The blue or green lines of graphs can sometimes cause problems as some printing processes are sensitive to these colours and others are not. It is a good idea to have the lines tested by a printer beforehand.

Establish beforehand whether the printer can print photos.

2.7.2.5 Instructions to printer

To eliminate possible misunderstandings, your instructions to the printer should be given clearly in writing.

2.7.2.6 Binding

If the student arranges the binding himself and it is not done by the printer, the student should ascertain beforehand how many copies have to be submitted and what requirements apply. An abbreviated title should, for example, appear on the spine of the hardcover copies. See 1.6.1.5 for the requirements regarding the number of copies and hard/soft cover binding. The approved title on the Research proposal must be printed in the exact way as it was approved. (in cases where the approved title is too long for the side of the hardcopy, exceptions will be made.)

2.7.2.7 Word processors

Using a word processor facilitates the compilation of a dissertation or thesis, but in the student's own interest a number of matters should receive attention. Make sure that the **printer** to be used is of a high quality and meets the requirements for duplicating. The print quality of certain matrix printers in particular is doubtful. The use of laser printers is strongly recommended. Contact Xerox or any other competent printer and Information Technology and Management of the University in time (i.e. before any information is captured in the word processor) for certainty in this regard.

The quality of the printing is ultimately subject to the approval of the registrar.

2.7.2.8 Other hints

- Arrange an appointment with a printer timeously.
- Establish in time what the requirements of your supervisor/promoter, the university and the printer and binder are.
- Establish beforehand from your supervisor/promoter or the administrative manager of the faculty concerned how many copies must be submitted for examining purposes.
- The University does **not** undertake the typing of mini-dissertations/ dissertations/theses.

3 CODE OF CONDUCT FOR SUPERVISORS AND PROMOTERS

The mission of the North West University is to communicate and develop knowledge by means of research. In the training for Master's degrees and doctorates these tasks are integrated and reach a joint culmination. It is therefore extremely important to the university (and the country and its people) for this training to be of an outstanding quality. The guidance provided to the Master's degree and doctorate students to a great extent determine the quality of the training. The university uses rules and certain procedures to guarantee this quality. In addition to these rules and procedures the university also uses a code of conduct for supervisors and promoters to:

- Ensure the quality of the training
- Serve the interests of the students
- Develop the profession of the lecturer as academic

3.1 The research process

A supervisor or promoter who has agreed to guide a certain student in his or her Master's or doctorate studies undertakes to:

- Guide the student in such a manner in the **introductory phase** of the research that the student selects a feasible research theme within the programme of the focus area, demarcates the problem and the aim of the research clearly and becomes familiar with financial support and administrative procedures.
- Guide the student in such a manner during the **planning phase** that the student submits an acceptable research proposal, and selects the right and appropriate research methods to achieve the objectives of the research.
- Support the student to such an extent in the **implementation phase** that the student can obtain the required data, solve practical problems when gathering data and draw meaningful, correct and logical conclusions.
- Encourage the student in the **reporting phase** and provide guidance with respect to all aspects of the writing of the report, and the presentation of the results of the research at national and international conferences and in scientific journals.
- Assess in the **evaluation phase** the standard of the student's work and determine whether the thesis or dissertation or mini-dissertation meets the requirements and academic standards **before** the student submits the work for examining purposes. The supervisor/promoter must be satisfied with the quality of the mini-dissertation or dissertation or thesis (i.e. that the mini-dissertation/dissertation/ thesis complies with the accepted academic standards).

3.2 Expertise in the research field

A supervisor or promoter who has agreed to guide a certain student in his or her Master's degree or doctorate studies undertakes to:

- Develop continuously as expert in the research field.
- Use other scientists as co- or assistant promoters where his or her own expertise is not sufficient.

3.3 Expert on the methodology of research

A supervisor or promoter who has agreed to guide a certain student in his or her Master's degree or doctorate studies undertakes to remain continuously up to date on new developments and possibilities of the required or applicable research methodology.

3.4 Relationship with the student

A supervisor or promoter who has agreed to guide a certain student in his or her Master's degree or doctorate studies undertakes to:

- Give dedicated attention to the guidance of the student.

- Maintain a professional relationship with the student.
- Always treat the student as an adult learner, even as a colleague.
- Lead the student into the academic community.
- Take individual differences between students and their circumstances into account.
- Give special support to students who are not studying in their mother tongue.
- Motivate the student continuously.
- Make the expectations of the supervisor/promoter clear to the student at all times.
- Give the student a chance to formulate expectations to the supervisor or promoter.
- Ensure that the supervisor/promoter is readily available and can be reached by the student.
- Encourage the student to work independently to an increasing extent as the research progresses.
- Create effective appropriate communication channels.

3.5 The assessment of submitted work

A supervisor or promoter who has agreed to guide a certain student in his or her Master's degree or doctorate studies undertakes to:

- Assess the work critically but constructively and not negatively.
- Substantiate comment on the work adequately for the student.
- Provide the student with regular feedback.
- Give a high priority to the assessment of the student's work.
- Provide the student with the comments speedily (preferably within two weeks) after having received it.
- Provide clear guidelines on the requirements that have been set.

3.6 Research management

A supervisor or promoter who has agreed to guide a certain student in his or her Master's degree or doctorate studies undertakes to:

- At each interview give clear instructions about the work to be completed before the next appointment.
- Jointly determine the date for the next appointment.
- Guide **and** check the student with respect to the planning of the research.
- Provide clear target dates beforehand that the student and lecturer should adhere to.

- Require regular interim reports or research results from the student.
- Advise the student on using time as effectively as possible.

3.7 Other matters

A supervisor or promoter who has agreed to guide a certain student in his or her Master's degree or doctorate studies undertakes to:

- Guide the student with respect to the ethics of research.
- Make the student aware of the security aspects of research, where applicable.
- Have clear discussions with the student about patent and copyright, where applicable.
- Inform the student timeously if the student does not progress satisfactorily.

4 CONDUCT REGARDING PLAGIARISM AT THE NORTH-WEST UNIVERSITY

4.1 Introduction

A number of familiar scientific malpractices tend to reoccur from time to time. One of the best known of these malpractices is plagiarism, or the unlawful claiming and presenting of someone else's ideas or the expression of those ideas in words. If this happens, it not only threatens the reputation of the individual, but often also that of the institution to which the perpetrator is attached. In order to prevent and combat this, it is necessary to develop a good understanding of the phenomenon.

4.2 Concepts

Plagiarism takes place in the framework of or may be brought into connection with **intellectual property**. The latter is a broad term used for the intellectual creative effort of an individual or a group, which may be protected by trademarks, patents, plant-breeder rights and so forth. In the field of published texts, to which the rest of this document will refer in particular, intellectual property is protected by **copyright**. This is the term which is used for the right which authors or composers (and often publishers as well), for example, have to the exclusive commercial use of literary works, which is not limited to works of art, but which may include any original work or design. This right includes the right to decide about the use of works, to be paid for it and to license certain uses of it.

However, copyright is not unlimited or applicable to any single piece of text or publication. In the first instance, many works are in the **public domain**. This term is used to indicate that such works belong to the public, in a manner of speaking. Usually this happens because copyright is valid only for a certain period after publication or after the death of the author, but it may also happen because a work was established or published by a public body. A second limitation to copyright is known as **fair dealing**. Copyright acts usually make provision for the use of published material for private study or research and for critique, review or news reporting without infringement of copyright. In all these

cases, however, there are requirements for the correct handling of material, to which reference will be made later. It must also be noted that copyright only protects the manner in which information is expressed, and not the information itself.

There are different possible forms of **infringement** of copyright. Copyright infringement may occur even if recognition is given to the author and if the content of a work is not claimed or presented as one's own. Examples of this include the unauthorised republication or excessive photocopying of a work or certain forms of distribution of copies.

In contrast, **plagiarism** is not always related to copyright. Plagiarism is claiming someone else's work or ideas without recognition and the presenting of it as one's own or as new and original. Therefore it is indeed possible to plagiarise work which no longer qualifies for copyright protection. Neither does it matter whether the plagiarism takes place intentionally or unintentionally: plagiarism remains plagiarism and it is a transgression and even a crime. Similarly, plagiarism does not require that a specific number of words be presented precisely. In certain cases, even the use of a single phrase or an idea or a vaguely covered reference to the original may constitute plagiarism. Plagiarism is nothing but academic fraud.

4.3 Forms of plagiarism

There are many forms of plagiarism. The following are some (even overlapping) examples of it, but the list is not exhaustive:

- 4.3.1 Copying texts, without correct recognition of their sources. Examples include:
- 4.3.2 Copying parts or the whole of another student's work.
- 4.3.3 Copying from published sources.
- 4.3.4 Copying lecture notes.
- 4.3.5 Copying material which was obtained from the internet.
- 4.3.6 Mere translation of such material.
- 4.3.7 Loosely paraphrasing or summarising someone else's work.
- 4.3.8 Theft of ideas. This form occurs more often in works of art, but is also possible in academic or general writing.

4.4 Correct scientific use

It is not the intention of this part of the document to explain in detail the correct (scientific) use of other people's work in one's own writing. This will be discussed elsewhere and, moreover, it is always the result of correct scientific schooling. Reference has already been made to fair dealing, which does not

constitute infringement of copyright; likewise, there are fair and correct uses of material which are not necessarily plagiarism.

The essence of such correct usage is that it must be of a limited extent and that it must be in the framework of one's own critical formulation and design. Together with this, there is the requirement of **recognition** by explicit and correct referencing of the sources of formulations or particulars both in the text of one's document and in the bibliography. Apart from proper recognition, good scientific style also involves that direct quotes (which must be clearly identifiable as such) must be limited to cases where the original words are truly essential. Paraphrasing and summarising, even where the source is clearly recognised, should also not be out of proportion with own critical formulation.

4.5 Code of conduct

The overriding rules regarding academic conduct at the University are to be set out in the Codes of Conduct and Ethics ^{1,2} currently being developed by Senate, based on the values of the University as outlined in its Vision, Values and Mission Statement.

From the current draft documents regarding the development of these Codes the following passages are specifically relevant:

- “[As a student I will] Maintain the highest standard of honesty and integrity in obtaining relevant study materials, doing assignments, writing tests and examinations and in presenting my academic and non-academic achievements to any other person(s) throughout my life” – Code of Conduct
- “[We commit ourselves] To uphold human dignity in all our activities, undertaken to develop the full potential of others and of ourselves, requiring that we practise and promote accuracy, honesty, truthfulness, trustworthiness and loyalty towards the University and all its people” - Code of Ethics

¹ “**Code of ethics:** An institution's code of ethics sets out its standards for an ethical organisation as well as individual ethical conduct, and consists of two essential components, namely,

- **Values statement**, for example, a mission statement or any short document (for example, a credo) setting out a company's *core values*;
- **Code of conduct**, that is, a longer, *compliance-oriented* document setting out more specific principles and rules regarding best practices, addressing issues such as conflicts of interests, acceptance of gifts, and the like” Condensed Research Report, EthicSA Research Report No 3, Corporate Ethics Indicator, Willem A Landman (Ethics Institute of South Africa), Willem Punt (Ethics Institute of South Africa), Mollie Painter-Morland (Centre for Business and Professional Ethics, University of Pretoria), Business Ethics South Africa Survey 2002)(BESA).

² “**Ethics:**

- Ethics is the practice of aligning human life, individually or collectively, or institutional structures and practices, according to basic standards of conduct;
 - Generally speaking, human conduct, practices and institutions are judged to be good or bad, right or wrong, in the light of such standards of conduct;
- Standards of conduct take on the form of values/principles, obligations, rights, and consequences, and meeting those standards emanate from good character or virtues” (BESA)

This is in line with general academic conduct at institutions for higher learning. The following quotation serves as an example: “In any examination, test or in respect of the completion and/or submission of any other form of academic assessment, a student shall refrain from dishonest conduct. Dishonest conduct includes plagiarism or submission of the work of a person other than the student who is being examined. Dishonesty, including plagiarism or the submission by a student of other people's work as his/her own, in an examination or any other form of assessment will be dealt with in terms of the disciplinary rules” (Source: <http://www.uct.ac.za/depts/records>).

As far as undergraduate work is concerned, the University's Examination Policy is a further source of reference.

All postgraduate students are required to sign a **declaration form** as part of the registration process. The declaration form will include the convention for citation and referencing used and that each contribution to, and quotation in, the dissertation or thesis from the work(s) of other people has been attributed, and has been cited and referenced. It will also include a statement that the dissertation or thesis is the students' own work and that the student did not allow anyone to copy his or her work with the intention of passing it off as his or her own work. (See also item 2.3 of this Manual.)

4.6 Similarities / differences between copyright and plagiarism

The main difference between copyright and plagiarism is that plagiarism is not a legal concept and as such not prohibited by law, whereby infringement of copyright is governed by law. Copyright and plagiarism will often overlap. However there are cases where plagiarism will not amount to copyright infringement and vice versa.

In his article “Plagiarism – How to Copy Right” in a 2004 newsletter of DM Kisch Inc, Lodewyk Cilliers explains the overlap between plagiarism and copyright as follows: “An example where copyright infringement does not constitute plagiarism may be where a part of a literary work is reproduced for commercial purposes, giving rightful credit to the author or copyright owner, but without obtaining his permission. In contrast, a situation could arise where a plagiarising author takes the idea of another author and uses it in his own form or for his own purposes. Should this action fall outside the scope of an adaptation as provided for in the Act, the plagiarism will not constitute copyright infringement.”

4.7 Consequences

If a student is found guilty of plagiarism when submitting a thesis or report, he/she could be accused of contravening the University's Code of Conduct which in turn could lead to disciplinary actions being taken against the student. The University could also reject the thesis causing the student to fail.

In the case where a student/employee is found to be guilty of copyright infringement in terms of Act 98 of 1978, this could lead to legal action being taken against the student.

5 GUIDELINES FOR RESEARCH ETHICS

Besides the code of behaviour, guidelines, policies and compulsory registration with the applicable national bodies to which scientists subject themselves in their relevant area of investigation; research is also controlled by ethics principles underlying experimental work. The most important hereof is probably research involving people and animals. The NWU Research Ethics committee implemented a general checklist for students and Faculties to use as a tool to find out if your Research proposal needs to go through a ethics review panel. See addendum 2.

5.1 Basic Ethics Principles

Ethical practice in scientific research, in particular medical research involving human individuals, is governed by four main principles:

5.1.1 Autonomy

- Respect for the person or persons
- An understanding of human dignity

5.1.2 Benefit

- Benefit to the research participant

5.1.3 Non-harmfulness

- Lack of harm to the research participants

5.1.4 Justice

- Visible dispensing of justice
- Equal distribution of risks and benefits among communities

These principles form the basis of all national and international ethics guidelines and policies.

5.2 Ethics guidelines of the North-West University

The Research Ethics Committee of the North-West University is responsible for the formulation of ethics guidelines for the University, for evaluating and approving research protocols and for monitoring the progress of such research. All research involving people (including human material such as blood, cells, urine, etc.) must be approved by the Research Ethics Committee before the study may commence. Normally the supervisors/promoter of a postgraduate student will apply to the Research Ethics Committee for approval of the relevant research programme of which he/she is the chief investigator. Most MSc and PhD students are allocated to projects which resort under a broad

research programme and they therefore carry out their research projects under the ethics approval obtained for the research programme. However, if the specific study of a student is not covered by the prior ethics approval, a new application has to be submitted to the Research Ethics Committee by a permanent staff member of the University, as students in this context may not act as primary researchers.

5.2.1 Submission of a research study to the Research Ethics Committee

A detailed application is submitted on the prescribed form (which is available from the Office of the Director of Research Support or on the research website of the University). Please see NWU Research Ethics process in addendum. This application must include the following:

5.2.1.1 Personal particulars of the project leader

- ❖ Title, surname and names
- ❖ Qualification
- ❖ Rank/position
- ❖ School/Institute
 - ❖ Telephone number
 - ❖ North-West University internal mail box number

5.2.1.2 Particulars of the experiment (study):

- ❖ Title of the project
- ❖ Name, surname, rank and qualifications of the immediate leader if this is not the project leader
- ❖ Titles, initials, surnames and qualifications of collaborators
- ❖ Name and address of the supervising medical officer
- ❖ Planned starting date
- ❖ Proposed date of completion
- ❖ Place where the experiment will be carried out
- ❖ Background to the study
 - Aim of the study
 - Experimental design and procedures

- Experimental medicine
- Sponsors of the study

5.2.1.3 Test subject

- ❖ Informed consent
- ❖ Will the test subjects be remunerated? If yes, provide particulars.
- ❖ Will students be used as test subjects?

5.2.1.4 Risk insurance

- ❖ How is the risk associated with the project covered?
- ❖ Is the insurance adequate?

5.2.1.5 Application and declarations by the project leader

- ❖ I, the undersigned hereby apply for approval to carry out the experiment as described in the protocol and declare:
 - I am fully informed of the Guidelines for experimenting with Human Test Subjects and Animals (September 1988) of the North-West University and of the Ethics Guidelines in Medical Research of the Medical Research Council, Revised Edition (1987), which are available on the research web page of the North-West University). I will adhere to the guidelines of these two documents;
 - I will obtain informed consent from every test subject on the attached form and will obtain the written permission of parents or guardians of under-age test subjects before the project commences;
 - that the information in this application is accurate to the best of my knowledge and that no codes of ethics will be transgressed in this project;
 - I will not deviate from the approved protocol;
 - All preliminary research has already been completed, and that I am capable of implementing the research;
 - I will submit annually a report on the prescribed form to the Ethics Committee on all the ethics aspects of the project.

5.2.1.6 Application and declarations by the supervising medical doctor

- ❖ The Research Ethics Committee fully supports the professional opinion of the supervising doctor with regard to the nature and scope of the supervision associated with this project.

- **What should the nature and scope of the supervision in this project be, in your opinion?**
- **What is, in your opinion, the degree of risk to the test subject in this project?**
 - NB: The supervising medical officer and the project leader must make the necessary arrangements in order to comply with the prerequisites for medical supervision.
- **The signing of the protocol involves the following:**
 - that you will ensure that every test subject is medically fit to participate in the project,
 - that a medical file (if necessary) will be kept for every test subject, and
 - that you will be fully aware of any risks associated with this project.

5.2.1.7 Informed consent form(s)

This form must be completed in accordance with the guidelines of the North-West University and the MRC.

If an informed consent form (ICF) is available in more than one language, all have to be attached. ICFs are usually prepared in Afrikaans and English, and where necessary in other regional languages.

There are important guidelines that have to be complied with in this regard and the ICF is an important part of the ethical basis of every study. Exact guidelines are available from the Research Ethics Committee of the North-West University and on the MRC website.

5.2.1.8 Questionnaire(s)

An exact copy of every questionnaire (as it will be used in the study) is attached.

The application will be signed by the project leader, the supervising medical doctor, the director of the school/institute and the director of the focus area in which the research will be carried out.

The same procedures are followed for studies that include animal trials. However, note that different application forms must be submitted for (a) research involving people and (b) research with animals. It is also compulsory for researchers who wish to use animals to attend the prescribed ethics course offered by the Experimental Animal Centre of the University.

5.2.2 Period for which applications are approved

The Ethics Committee of the North-West University approves projects for a period of five years. After this period a new application is submitted if the study is then still ongoing.

5.2.3 Annual progress report

Every year a progress report has to be submitted to the Research Ethics Committee for each research study that has been approved by the Research Ethics Committee. The report is submitted on the prescribed "Project Report Form".

5.3 National ethics guidelines

National guidelines have been formulated in order to ensure that there is compliance with equivalent standards on the national level. In general the guidelines contain the minimum standard that must be complied with in South Africa. In South Africa the Medical Research Council (MRC) is the body that formulates ethics guidelines for research.

5.3.1 MRC guidelines on ethics for medical research

The MRC has formulated national guidelines in the form of a series of four books:

- a. Book 1: General principles
- b. Book 2: Reproductive biology and genetic research
- c. Book 3: Use of animals in research
- d. Book 4: Use of biohazards and radiation
- e. Book 5: HIV vaccine trials

Copies of these books are available from the MRC, and they may be downloaded from the MRC website at www.mrc.ac.za.

5.3.2 MRC General Principles

In Book 1 the MRC describes the general principles of their ethics policy. The content of the book is set out below. It also gives the details and scope of the MRC guidelines. In this book,

- the MRC defines what the MRC regards as research
 - the MRC gives a definition of what the MRC regards as research on human beings.
- the MRC defines research ethics
 - the MRC gives the general philosophical issues and human (as well as anthropological) perspectives on the ethics of medical research.
- the MRC defines medical justification for research

- Healthy volunteers
 - Patients
- the MRC defines legal and moral justification for research
 - Consent is essential
 - Form of consent
 - Requisites of consent
 - Friend of the participant
- the MRC defines the conducting of research
 - Responsibility for the overall care of patients
 - Responsibility in the conducting of multicentre studies
 - Delegation and research conducted by non-medical workers
 - Responsibility for the welfare of research workers and laboratory personnel
 - Adequacy of facilities to carry out research
 - Participant privacy and confidentiality
- the MRC defines the research principles for the following groups:
 - Research on healthy volunteers
 - Research on patients
- the MRC describes practical ethics issues in qualitative research
 - Introduction in order to define concepts
 - Practical ethics issues in qualitative research
- the MRC describes the evaluation of research ethics as
 - Independent ethical review
 - Knowledge of involvement
 - Clinician-patient relationship
 - Role and competence of the investigator
 - Research ethics committees
 - Objectives
 - Scientific misconduct
 - Functions of the Research Ethics Committees

- Membership of the Committees
- Method of working
- Suggested format for applications to the Research Ethics Committee
- Assessing the value and risks of research
 - Financial transactions and inducements
- the MRC defines monitoring of the conduct of research
 - National ethics body
 - Particular role of the Research Ethics Committee
 - Continuing research
 - Ownership of results of research
 - Research results
 - Legal implications and arrangements for compensation
 - Publication and authorship
 - Liaison with the public media
- the MRC defines international collaborative research
 - Issues
 - Ethics principles
 - Collaborators
 - Principles
- the MRC lists guidelines for epidemiology
 - “Public” versus “health”

5.4 International ethics guidelines

International guidelines have been formulated in order to ensure that equivalent standards are complied with across the whole world. Three documents contain/govern the standards of ethics:

- The Helsinki Declaration,
- The Belmont Report, and the
- The Nuremberg Code

All researchers in South Africa should be familiar with the content of the above-mentioned three documents, as they form the basis of the MRC guidelines and therefore also of the guidelines of the Research Ethics Committee of the North-West University.

5.4.1 The Helsinki Declaration

This document was drafted by the meeting of the World Medical Association in Helsinki in 1964, and is periodically updated. A copy of the documents of the “World Medical Association Declaration of Helsinki: Ethics principles for medical research involving human subjects” is available at <http://www.wma.net/e/policy/b3.htm>

5.4.2 Introduction to the Helsinki Declaration

The first paragraph of the Helsinki Declaration reads as follows: “The World Medical Association has developed the Declaration of Helsinki as a statement of ethical principles to provide guidance to physicians and other participants in medical research involving human subjects. Medical research involving human subjects includes research on identifiable human material or identifiable data.” It states the scope of the declaration as it explains which material and data are covered by the Helsinki Declaration.

5.5 The Belmont Report

The Belmont Report is in essence an interpretation of the Helsinki Declaration with:

- Full descriptions, which imply that there is
- Less interpretation among individual researchers

A copy of the Belmont Report is available at <http://www.fda.gov/oc/ohrt/IRBS/belmont.html>

5.6 The Nuremberg Code

The Nuremberg Code was formulated after the Nuremberg Military Tribunals, where

- unacceptable research practices were emphasised, and
- issues that were revealed during the tribunal were dealt with.

A copy of the Nuremberg Code is available at <http://ohsr.od.nih.gov/guidelines/nuremberg.html>

5.6.1 Voluntary consent

The Nuremberg Military Tribunals emphasised that voluntary consent from human subjects is essential before participation in a research study.

- The subject must be legally competent to give consent,
- The subject must be able to exercise the power of freedom of choice without compulsion, deception, being misled, pressure, over-straining or other hidden forms of limitation or convincing.
- The subject must
 - have adequate knowledge, and
 - understand the elements of the substance concerned, so that
 - he/she can make an informed decision.
- Before the subject gives consent, he/she must have knowledge of the following:
 - Nature of the experiment
 - Duration of the experiment
 - Aim of the experiment
 - Method and manner in which the experiment will be conducted
 - All discomfort and risks that may reasonably be expected
 - Effects on his/her health or person that may occur as a consequence of participation in the study.
- The above forms the basis of *informed consent*

It is currently a requirement that written informed consent must be obtained from all participants in a research study.

6 ADDENDUM (EXAMPLES OF TITLE PAGES)

- 6.1 Example 1: Dissertation without examination papers - Afrikaans**
- 6.2 Example 2: Dissertation with examination papers - Afrikaans**
- 6.3 Example 3: Dissertation without examination papers - English**
- 6.4 Example 4: Dissertation with examination papers - English**
- 6.5 Example 5: Mini-dissertation - Afrikaans**
- 6.6 Example 6: Mini-dissertation - English**
- 6.7 Example 7: Thesis - Afrikaans**
- 6.8 Example 8: Thesis - English**

Example 1: Dissertation without examination papers - Afrikaans

Titel

Voorletters en van

**Verhandeling voorgelê vir die graad *Magister Scientiae* in Dierkunde
aan die (kampusnaam) van die Noordwes-Universiteit**

Studieleier: Titel, voorletters en van

Medestudieleier: Titel, voorletters en van

Maand en jaar

Example 2: Dissertation with examination papers: Afrikaans

Titel

Voorletters en van

**Verhandeling voorgelê ter gedeeltelike nakoming van die vereistes vir die graad
Magister Commercii in Internasionale Handel en Bemaking aan die (kampusnaam) van die
Noordwes-Universiteit**

Studieleier: Titel, voorletters, van

Maand en jaar

Example 3: Dissertation without examination papers: English

Title

Initials and surname

Dissertation submitted in fulfilment of the requirements for the degree *Master of Science in Applied Mathematics* at the (campus name) of the North-West University

Supervisor: Title, initials, surname

Month and year

Example 4: Dissertation with examination papers: English

Title

Initials and surname

Dissertation submitted in partial fulfilment of the requirements for the degree *Master of Science in Physics* at the (campus name) of the North-West University

Supervisor: Title, initials, surname

Month and year

Example 5: Mini-dissertation: Afrikaans

Titel

Voorletters en van

Skripsie voorgelê ter gedeeltelike nakoming van die vereistes vir die graad *Honneurs Baccalaureus Commercii in Bemarking* aan die (kampusnaam) van die Noordwes-Universiteit

Studieleier: Title, voorletters, van

Maand en jaar

Example 6: Mini-dissertation: English

Title

Initials and surname

Mini-dissertation submitted in partial fulfilment of the requirements for the degree *Bachelor of Science (Honours) in Marine Biology* at the (campus name) of the North-West University

Supervisor: Title, initials, surname

Month and year

Example 7: Thesis - Afrikaans

Titel

Voorletters en van

**Proefskrif voorgelê vir die graad *Philosophiae Doctor* in Inligtingstechnologie
aan die (kampusnaam) van die Noordwes-Universiteit**

Promotor: Titel, voorletters, van

Medepromotor: Titel, voorletters, van

Maand en jaar

Example 8: Thesis – English

Title

Initials and surname

**Thesis submitted for the degree Doctor of Philosophy in Ethics at the (campus name) of the
North-West University**

Promotor: Title, initials, surname

Co-promotor: Title, initials, surname

Month and year

Addendum 1: NWU Research Ethics application process

Addendum 2: NWU Research Ethics checklist