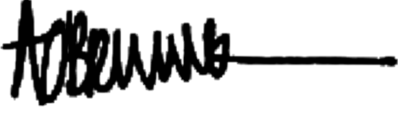




RESEARCH POLICY

Version003_May_2023

Owner	Dean: Postgraduate Studies and Research
Governance structure	The Research Ethics Sub-Committee and Centre for Research report to the Institutional Research Committee with feedback to the Academic Executive Committee and Academic Board.
Relevant to	The policy applies to all staff and students involved in research.
Approved by	Academic Board
Date approved	April 2018
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Next revision date	May 2027
Signed: Chair of Academic Board	
Date signed	13 October 2023
Related IMM Graduate School policies and documents	<p>Related Policies:</p> <ul style="list-style-type: none"> Assessment Policy Applications, Admission and Registration Policy eLibrary and Knowledge Centre Policy Learning and Teaching Policy Quality Assurance and Enhancement Policy Programme Development and Re-accreditation Policy Research Ethics Policy <p>Related Documents:</p> <ul style="list-style-type: none"> Research Handbook
Related regulatory framework documents	<u>A Quality Assurance Framework for Higher Education in South Africa (CHE, 2021)</u>

	<p><u>Criteria for Programme Accreditation (CHE, 2004)</u></p> <p><u>Framework for Qualification Standards in Higher Education (CHE, 2013)</u></p> <p><u>Research Output Policy (DHET, 2015)</u></p> <p><u>Policy and Procedures for Measurement of Research Output of Public Higher Education Institutions (DHET, 2003)</u></p> <p><u>Framework for Institutional Audits (CHE, 2021)</u></p> <p><u>Higher Education Act of 1997 (Act No. 101 of 1997)</u></p> <p><u>Higher Education Qualifications Sub-Framework (CHE, 2013)</u></p> <p><u>Level Descriptors for the South African National Qualifications Framework (SAQA, 2012)</u></p>
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1. RATIONALE FOR POLICY

The policy set out below will determine the area in which research requirements are to be made and ensure that the decisions made are aligned with the relevant legislation.

Research may be defined as the creation of new knowledge and/or the use of existing knowledge in a new and creative way to enable the generation of new ideas, concepts, methodologies and understandings. This could include synthesis and analysis of previous research to the extent that it leads to new and creative outcomes.

This definition of research is consistent with a broad notion of research and development (R&D) as comprising creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of humanity, culture and society, and the use of this stock of knowledge to devise new applications.

The IMM Graduate School recognises that a key role of a higher education provider is the initiation and advancement of knowledge and understanding through the facilitation and active management of high-quality research. It is primarily through its research activities that a higher education institution differentiates itself from other further education and training institutions and, in essence, gives expression to the ideals of being a true 'universitas'.

Research is, therefore, besides teaching, learning and assessment, one of the core competencies and functions of the IMM Graduate School and is an activity that is key to defining the institution's position among its peers locally, on the continent and globally. Research is also an important medium through which the IMM Graduate School gives effect to its responsibility of contributing to the development of the country and its people, and more specifically, to provide solutions to pressing problems in the field.

The IMM Graduate School is convinced that research undertaken at the institution needs to assist in expanding the knowledge base of science, especially in the field of business, marketing and supply chain. Research findings should also be integrated into

the existing curricula to present students with up-to-date knowledge and insights that are relevant and appropriate to an ever-changing national and international world of business. Using its research activities, the IMM Graduate School will attempt to continuously ensure that the intellectual needs of industry, commerce, the public sector and other potential employers are addressed.

2. ABBREVIATIONS AND GLOSSARY OF TERMS

Refer to Addendum A: Abbreviations and glossary of terms.

3. PURPOSE OF THE POLICY

A significant and essential component of tertiary education is research and its accompanying activities. The IMM Graduate School agrees with this assumption and views research, along with learning and teaching as well as community engagement, as one of the institution's main responsibilities.

The aforementioned three roles are interrelated and complementary to one another, making it necessary to constantly recognise the relative importance of each, even though research is significant in and of itself.

In this context, research encompasses activities designed to generate one or more research outcomes, such as knowledge creation, reorganisation and application. Depending on the primary objective for which the research is conducted, the following distinctions can be made:

- Research is conducted primarily as an academic/ instructional activity in which a faculty member may function as promoter, co-promoter or supervisor of students.
- Staff members conduct research as part of their teaching.
- On a consultation or contractual basis, research and development is performed, by staff members, research associates and professional associates
- Research and development is conducted solely for the purpose of generating research (rather than for one of the aforementioned reasons).

4. GUIDING PRINCIPLES

4.1 AUTHORSHIP OF ARTICLES

The following guidelines need to be adhered to as far as authorship of articles produced using master's research is concerned:

4.1.1 Guidelines on the Establishment of Authorship Principles

Defining authorship ensures the provision of credit for the contributions made to a study by an individual and confirms the accountability of such an individual. While there may be no universally accepted standards which are enforced in the process of assigning authorship by universities internationally, some essential guidelines will be applied by the IMM Graduate School.

4.1.2 Practical Implementation

The core responsibility for decisions relating to authorship and the assigning of authorship status lies with the party responsible for carrying out the work reported on in the publication. The author is essentially the individual judged to have made the most significant contribution to the intellectual or practical elements contained in the publication. In addition to this criterion, the allocation of authorship status will only be accorded if the responsible parties agree to it beforehand. In addition to the criteria mentioned above, the authorship status will also include anyone who

- a) made a major contribution to the conceptualising or designing of the project, the analysis of the data, the interpretation of the data, and/or
- b) anyone who drafted the work or played a role in reviewing or revising it with an analytical objective with respect to the key intellectual content.

The above is generic guidance only, and all are advised to investigate the requirements of specific journals which are considered for publication.

4.1.3 Author Responsibility to Contributing Parties

All parties listed as authors of a paper should be approached for final approval of the concluding version of the paper and then accept responsibility for the process of familiarising themselves with the content of the paper and the identification of their specific contributions to it.

Those individuals who contributed to the work but whose contributions are not of sufficient level or scale to warrant their names to be listed as authors should be duly acknowledged in the section set out for acknowledgments.

It is the final responsibility of the persons listed as authors to ensure that all contributing parties are fairly and properly acknowledged for their contributions in a way which ensures that the acknowledgment reflects the level of input by those who contributed.

5. PRINCIPLES OF RESEARCH

IMM Graduate School research is founded on the following core principles:

- 5.1 At its most fundamental level, research is a human activity. It follows from this that research is never mechanistic or value-neutral. Preconceptions among researchers are influenced by social, political, cultural and gender factors. Both their beliefs and findings are influenced by these biases.
- 5.2 Conducting research is a group activity. Researchers collaborate with other researchers on a local, national and global level. This community has an impact on the paradigms used for research across disciplines and/or topics.
- 5.3 Research can be disciplinary, field, subject, or even multidisciplinary.
- 5.4 Research depends on theories. It is influenced by the prevalent ideas in particular domains, and theories are influenced by the aforementioned paradigms.
- 5.5 Research is conducted to address the requirements of the world and to increase our understanding of how it works, research is conducted.
- 5.6 Research requires novel, inventive, methodical work.
- 5.7 Research activities might be basic, applied, conceptual, strategic or reflective.
- 5.8 Where data and/or materials from other sources, studies or publications are included, appropriate attribution should be given. It is forbidden for researchers, research associates and students to plagiarise, pirate or fabricate study findings. Any of these behaviours are viewed as serious disciplinary offences.
- 5.9 The IMM Graduate School's policy on research ethics must be followed while research is being undertaken by IMM Graduate School researchers, research associates and students.

5.10 The IMM Graduate School's standard operating procedure for conducting research must be followed when using IMM Graduate School personnel, students or data.

6. RESEARCH APPROACHES

As the basis for its research policy, the IMM Graduate School believes that the following distinctions between basic, strategic and applied research are useful:

6.1 Basic research is experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts. The results are usually published in scientific journals, communicated at subject-specific conferences or circulated to interested colleagues.

6.2 Strategic research is carried out with the expectation that it will produce a broad base of knowledge likely to form the background to the solution of recognised or expected current or future problems or offer possibilities for solving them.

6.3 Applied research is also an original investigation to acquire new knowledge. It is, however, directed primarily towards a specific practical aim or objective. The results of applied research are intended primarily to be valid for a single or limited number of products, operations, methods or systems. The knowledge or information derived from applied research is often patented and may also be kept confidential.

All three types of research are recognised by the IMM Graduate School as valid forms of research and are therefore supported and acknowledged by the institution.

7. MANAGEMENT OF RESEARCH

At the IMM Graduate School, research is actively managed at the faculty level, where the expertise in particular fields or areas lies. The institution's management is responsible for encouraging and supporting research by fostering an environment that promotes effective research aimed at enhancing research skills and competence among students and staff; these significant aspects of personal development should

also have a positive impact on the quality of education; and inspiring faculty and staff participation in research-related activities and programmes.

The Higher Education Quality Committee's Good Practice Guide for Quality Management of Research, published in July 2005, provides the framework under which research is managed at the IMM Graduate School.

7.1 The Academic Board is ultimately in charge of overseeing the quality management of research and is responsible for approving the IMM Graduate School's research and innovation policy.

The following is a delegation from the Academic Board to the parties listed below:

7.1.1 Academic Executive Committee

The overall accountability for the academic value of the institution's research and innovation initiatives.

7.1.2 Postgraduate Studies Committee (Higher Degrees)

- a) Providing strategic leadership in terms of innovation and research.
- b) The obligation to create a strategy plan for institutional research and innovation. At the level of policy, strategy and vision, the committee chair communicates with important internal and external stakeholders like the DHET.
- c) The obligation to make sure that the institution has the resources to support research and innovation.
- d) The administration of research and innovation, such as the creation and execution of research and innovation plans.
- e) The strategic and routine execution of research audits.
- f) Research entities are given responsibility for the operational management of innovation and research.
- g) Annual research and innovation plans must be presented by all research organisations at the Academic Executive Committee's first meeting.

- h) On a quarterly basis, the performance of each research entity is evaluated in comparison to the objectives and benchmarks in the authorised plans.
- i) At the committee's yearly first meeting, an annual performance report is delivered to the Academic Executive Committee.

7.1.3 The IMM Graduate School is in charge of offering sufficient resources for research.

7.1.4 Research entities are in charge of preparing up-and-coming and developing researchers for research by giving them the time and resources necessary for it.

7.1.5 Proven researchers are expected to mentor less seasoned colleagues in the development of research abilities, particularly those related to planning, designing and publishing research.

7.1.6 Researchers who need this help are urged to speak to the Executive Academic Head and Dean of Postgraduate Studies and Research, who chairs the Postgraduate Studies Committee.

8. ROLE OF POSTGRADUATE STUDENTS

The IMM Graduate School acknowledges that postgraduate students, enrolled for higher degrees, form the backbone of the institution's research programmes. Therefore, it is appropriate that the institute actively promotes higher degree studies and postgraduate research as an integral part of its institutional research endeavour and ensures the quality of this provision. This policy therefore references the administration, governance and quality management of postgraduate studies and programmes at the IMM Graduate School. The goal is to:

- 8.1 establish rational and transparent decision-making processes around the governance and administration of postgraduate student matters;
- 8.2 maintain the highest levels of quality care regarding postgraduate study and the students registered for it;

- 8.3 clarify the respective roles and responsibilities of students and their supervisors;
- 8.4 prescribe the parameters within which dissertations, research articles and conference papers must be produced;
- 8.5 ensure adequate capacity development support for postgraduate students;
- 8.6 ensure the fair and transparent treatment of all postgraduate students and their concerns;
- 8.7 maintain a workable structure which monitors, encourages and promotes ethical conduct in research; and
- 8.8 provide fair and robust structures for the evaluation of issues related to results discrepancies, student complaints and the general management of unforeseen deviations and interruptions in the process.

9. PUBLICATION OF ARTICLES

- 9.1 Article submissions for publication in a recognised academic publication are encouraged from both students and faculty members.
- 9.2 A research article that would be appropriate for an academic journal (publishable) is a requirement for master's students to graduate. Publication acceptance of the article is not a requirement.
- 9.3 The article may be co-authored by the Supervisor, although in that case, the student's name will appear first.
- 9.4 This policy provides specifics regarding the preservation of intellectual property and the dissemination of research done at the IMM Graduate School. The Intellectual Integrity and Property Rights Policy is in favour of this.

10. AUDIT OF THE STATE OF RESEARCH

The IMM Graduate School will undertake annual audits of the current state of research within the Group. This will take the form of a peer review analysis and the project will be managed and implemented from within the Institutional Research Committee. Feedback from the audit will be presented to the Academic Board's fourth annual meeting.

The purpose of annual audits will be to provide the Institutional Research Committee with appropriate information, which will be utilised to set feasible and realistic research targets for the following academic period. Individuals or groups responsible for research activities will complete a review report, which will be submitted to the Institutional Research Committee at a given date. The Institutional Research Committee will then enter a consultation process with designated researchers and planned research activities will be discussed. During the consultation process, research targets for individuals and groups will be agreed upon.

The above research targets will be used as a basis for the future annual audits.

11. RESEARCH ETHICS

All postgraduate students and their supervisors are expected to familiarise themselves with and adhere to the IMM Graduate School's Research Ethics Policy. For this purpose, all master's research proposals must receive ethics clearance before a project can commence. The final dissertation must also be proofread, scanned and cleared of ethical impediments as well as submitted for a plagiarism check through Turnitin before final acceptance.

12. INTELLECTUAL PROPERTY AND RETENTION

- 12.1 All research projects conducted by staff and students are subject to the IMM Graduate School's intellectual property (IP) rules, and students are required to indicate their adherence to these rules as part of the annual registration process.
- 12.2 The intellectual property guidelines of the IMM Graduate School apply to all postgraduate research projects and dissertations.
- 12.3 The phrase 'intellectual property' refers generally to intangible property that is the outcome of creative or intellectual endeavour and is legally protected. All types of copyright, design rights, patents, trademarks, information, schematics, expertise, research findings and inventions created by students and staff of the IMM Graduate School are included.

- 12.4 Regardless of whether the report, dissertation or thesis is accepted or not, the IMM Graduate School is entitled to all copyright from research projects and dissertations that may result from study at this Higher Education Institution.
- 12.5 By signing the registration form, the student formally consents to the transfer of any relevant rights to the IMM Graduate School. This consent is irrevocable.
- 12.6 The Programme Coordinator(s) shall ensure that a digital version of each research project, dissertation or thesis generated is made available in the repository and that a copy is preserved for the Knowledge Centre.
- 12.7 The Head Librarian/Knowledge Centre is responsible for ensuring that these are documented and available to students.
- 12.8 All student work undertaken at the IMM Graduate School that satisfies the requirements will be uploaded to the IMM Graduate School's repository, since the IMM Graduate School controls the intellectual property of the work generated by students while they are enrolled there. Requests from students to have their work taken down or not published on the repository will not be complied with.
- 12.9 Master's students are required to submit an article for publishing consideration on or before the deadline for examination submission, and they must include documentation of their submission with the copy they submit for evaluation.

There is no prerequisite for publishing acceptance.

13. IMPLEMENTATION OF POLICY

The reviewed policy will be implemented from the date that the Academic Board approves the document.

14. DOCUMENT CONTROL

Version history and updates:

Date	Responsible person	Description
May 2016		Last amended
April 2018	H. Potgieter and Prof G. Bick	Included Point 5 – Audit Point 6 – Authorship Point 7 – Ethics Point 8 – Intellectual Property
May 2018	H. Potgieter and Prof G. Bick	Updated Authorship and Ethics Policy to Research Ethics Policy
May 2023	Head: Internal Quality Assurance	Full Review of the Policy
August 2023	Head: Internal Quality Assurance	Amended the following points according to feedback from Academic Board: Definitions 5.7 updated - conceptual 9.1 included students and faculty members 10. Reference to Institutional Research Committee corrected 11. Turnitin reference included Glossary of terms: Experienced Supervisor included Research proposal corrected

ADDENDUM A: ABBREVIATIONS AND GLOSSARY OF TERMS**Abbreviations:**

R&D	Research & Development
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Glossary of Terms:

Article	It is a primary or secondary research-based article prepared to the standard for submission for publication in terms of the specifications of the academic journal concerned.
Authorship	The writings produced by a particular author.
Co-Supervisor	An academic involved in the supervision of a research project, mini-dissertation, dissertation or thesis working in cooperation with a supervisor either as part of their own training or because of their own expertise in the discipline or a methodology.
Dissertation	The output from a master's degree by research.
Experienced Supervisor	A researcher who has supervised and successfully delivered several postgraduate students at the level appropriate for their qualifications.
External Examiner	An academic, not in the employ of the IMM Graduate School, who assesses the research output of either a research project, mini-dissertation, dissertation or thesis.

Qualification	Formal recognition and certification of learning achievement awarded by an accredited institution.
Postgraduate Studies & Research Administrator	The administrator responsible for research administration.
Research Ethics Sub-Committee	The committee responsible for institutional research ethics; a sub-committee of the Postgraduate Studies Committee, with reporting line into the Institutional Research Committee..
Research Proposal	A component that must be completed by master's dissertation students which culminates in the Research Proposal being reviewed and approved/ declined by a Panel (ad hoc committee of the Postgraduate Studies Committee).
Research Report	A report on a research project that is not a mini-dissertation nor a dissertation. Normally the output of an honours degree student.
Supervisor	An academic responsible for supervising the research done by a student that will normally result in a research report, academic article, mini-dissertation or a dissertation.