

<b>POLICY NUMBER</b>	<b>IIE007</b>	
<b>POLICY NAME</b>	<b>Research and Postgraduate Studies Policy</b>	
<b>POLICY VERSION</b>	<b>17</b>	
<b>LEGEND</b>	<b>The Research Policy (IIE007) and Postgraduate Studies Policy (IIE025) were merged to form the Research and Postgraduate Studies Policy (IIE007). The IIE025 Policy has therefore been revoked with effect from 04 November 2014</b>	
<b>POLICY APPROVAL</b>	<b>Date of Approval</b>	<b>Date of Implementation</b>
	<b>28 March 2006</b>	<b>March 2006</b>
<b>DATES AMENDED</b>	<b>05 April 2011 (w)<sup>1</sup></b> <b>07 November 2013<sup>2</sup></b> <b>19 May 2015</b> <b>25 July 2016</b> <b>25 August 2016 (w)<sup>3</sup></b> <b>30 November 2016<sup>4</sup></b> <b>24 August 2017</b> <b>02 March 2018<sup>5</sup></b> <b>29 November 2018<sup>6</sup></b> <b>11 July 2019<sup>7</sup></b> <b>03 September 2020<sup>8</sup></b> <b>02 September 2021</b> <b>24 March 2022<sup>9</sup></b> <b>07 September 2022</b> <b>29 February 2024<sup>10</sup></b> <b>06 February 2026<sup>11</sup></b>	<b>January 2012</b> <b>January 2014</b> <b>January 2016</b>  <b>25 August 2016</b> <b>14 December 2016</b> <b>January 2018</b> <b>January 2019</b> <b>January 2019</b> <b>January 2020</b> <b>January 2021</b> <b>January 2022</b> <b>July 2022<sup>12</sup></b> <b>January 2023</b> <b>March 2024</b> <b>January 2026</b>
<b>DATE FOR NEXT REVIEW</b>	<b>2029</b>	
<b>RELATED POLICIES</b>	<b>IIE001: Quality Assurance and Enhancement Policy</b> <b>IIE002: Admissions Policy</b> <b>IIE005: Qualification Design and Programme Review Policy</b> <b>IIE008: Information Centre Policy</b> <b>IIE009: Assessment Strategy and Policy</b> <b>IIE010: Qualification Completion, Credit Accumulation and Transfer, Articulation and Recognition of Prior Learning Policy</b> <b>IIE011: Student Records Policy</b>	

<sup>1</sup> S26: 2011-04-05 Item 9.7 (whole policy review)

<sup>2</sup> S34: 2013-11-04 amendments to section 1, 3-5 approved by S34 members via e-mail on 2013-12-04: editorial and changes related The Independent Journal of Teaching and Learning

<sup>3</sup> S42:2016-08-25 Item 7.2.4

<sup>4</sup> Renumbering and editorial changes

<sup>5</sup> S47: 2018-03-02 Item 7.2.1 (whole policy review)

<sup>6</sup> S49:2018-10-29

<sup>7</sup> S51: 2019-07-11 Item 7.2.3.

<sup>8</sup> S54: 2020-09-03 Item 8.2.2: Footnote to Belmont Report added/ S55:2020-12-02 Item 8.2.7 term "library" reviewed to "information centre"

<sup>9</sup> S59: 2022-03-24 Item 8.2.2 – (major Policy review)

<sup>10</sup> Approved via Round Robin

<sup>11</sup> Approved via Round Robin on 06 February 2026

<sup>12</sup> Further editorial changes post S59 to align with changes made in IIE 031 at S60, 14 July 2022, specifically section 3.2.

	<b>IIE012: Graduation and Certification Policy</b> <b>IIE016 Student Representation Policy</b> <b>IIE018 Academic Research Conditions of Service Policy</b> <b>IIE022: Teaching and Learning Strategy</b> <b>IIE023: Intellectual Integrity Policy</b> <b>IIE029: Distance Education Policy</b> <b>IIE030: The IIE Internationalisation Policy</b> <b>IIE031: Governance Policy</b> <b>IIE032: Personal Information, Intellectual Property and Cyber Security Policy</b>
<b>RELATED PROCEDURE</b>	<b>PDIIIE007: Research and Postgraduate Criteria and Minimum Standards</b>
<b>ANNEXURES</b>	<b>Annexures A to T</b>

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## GLOSSARY AND ROLES

<b>Academic Article</b>	Normally, a comprehensive and deep analysis of a subject that contributes to the ongoing discourse in the field.
<b>Academic Seminar</b>	The process of presenting a proposal at Master's and Doctoral levels to an audience including peers, supervisors, academics, and industry experts to gain feedback on the proposed research.
<b>ACE</b>	Academic Centre of Excellence
<b>Campus Higher Degree Programme Coordinator (CHDPC) (For Dissertation and Coursework)</b>	The academic at a campus level designated with the responsibility for coordinating the programme at that campus on behalf of the NHDPC (where there are enough enrolments to justify) in the context of IIE policies.
<b>Campus Postgraduate Coordinator (Honours and PGDip specific)</b>	An academic within a school responsible for the coordination of designated postgraduate qualifications other than research degrees on a campus.
<b>Campus Research Administrator</b>	The administrator on the campus responsible for administrative tasks in terms of this policy.
<b>Campus Research Coordinator</b>	The Campus Research Coordinator responsible for research by the academic team and for research done on the campus by anyone other than a postgraduate student. This person may also be the postgraduate coordinator for one or more clusters. Each campus, irrespective of whether postgraduate programmes are offered on the campus, should have a person who has this role specifically designated to them.
<b>Co-Supervisor</b>	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 methodology.
<b>Deputy Dean Research</b>	Deputy Dean Research supports a Brand or, a region, or ACE. The role includes research development, which includes responsibility for annual reporting to the Research and Postgraduate Studies Committee and The IIE Research Ethics Committees.  The role also includes monitoring of targets and approval of items on the Research Activity Tracking System and related incentives.
<b>Dissertation</b>	The output from a Master's degree by research.
<b>Emeris Postgraduate Co-Ordinator</b>	The Emeris Postgraduate Co-Ordinator reporting to the Dean and Deputy Dean Postgrad and Research Centre.
<b>Executive: Research or Head of Institutional Research</b>	The ACE Research Head is responsible for research. This person ratifies the RPL decisions at the post-graduate level.

<b>External Examiner</b>	An academic, not in the employment of The IIE, who assesses the research output of either a research project, mini-dissertation, dissertation, or thesis.
<b>Head of Postgraduate Studies and Research</b>	An academic at the brand responsible for the coordination of designated higher degree qualifications for a specific brand.
<b>Higher Degrees Committee</b>	A subcommittee of the Research and Postgraduate Studies Committee responsible for the approval of proposals, ethical clearance applications and ratification of final examiner's decisions for research degrees and for the research components of other degrees at the level of Master's and above.
<b>Independent Journal of Teaching and Learning (IJTL)</b>	The Independent Journal of Teaching and Learning (The IJTL) is an education-focused journal published twice a year by The Independent Institute of Education.
<b>Internal Examiner</b>	An academic of The IIE who examines a research report or mini dissertation of a student, other than the student/s they have supervised through the completion of the research report or mini dissertation, that falls within the same cohort.
<b>Mini-Dissertation</b>	Research document in partial fulfillment of a master's by coursework.
<b>National Higher Degrees Administrator (NHDA)</b>	The senior administrator at a brand responsible for the administration of student research.
<b>National Higher Degrees Programme Coordinator (NHDPC)</b>	The senior (brand) academic responsible for coordinating the programme at the brand across its campuses in the context of IIE policies. Can be supported by a campus-based academic (CHDPC).
<b>National Postgraduate Programme Coordinator (NPPC)</b>	An academic responsible for the coordination of designated postgraduate qualifications other than research degrees for a brand
<b>Non-Qualification Purposes (NQP)</b>	A non-credit-bearing learning module, usually very specific in scope, that prepares a student for a particular undertaking.
<b>Research Article</b>	Normally, 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.
<b>Research Ethics Committee (IIEREC)</b>	The IIEREC is the highest governing body at The IIE to protect the rights, safety, and well-being of research participants in line with the principles of ethical research and the guidance of the National Health Research Ethics Council.
<b>Research Project</b>	The research project undertaken by a Postgraduate Diploma or Honours student, which results in either a research report or an academic article, or both.
<b>Research Proposal Development Programme</b>	The Research Proposal Development Programme is a module offered for non-qualification purposes (NQP) that

	must be completed by research Master's and Doctoral students prior to their formal registration of the respective programme. This NQP culminates in a research proposal being reviewed by the Higher Degrees Committee for approval.
<b>Research Report</b>	A report on a research project that is not a mini- dissertation or a dissertation. Normally, it is the output of an Honours Degree or Postgraduate Diploma research project.
<b>Supervisor</b>	An academic responsible for supervising the research conducted by a student that will normally result in a research report, academic article, mini-dissertation or dissertation, or thesis.
<b>Thesis</b>	The output of a Doctoral degree.
<b>Viva Voce</b>	Viva voce is a Latin phrase meaning "with living voice". The Viva Voce completes a PhD examination process and requires that a candidate present and defend the research and original contribution made to the field.

## 1 PREAMBLE

- (1) The Independent Institute of Education's (The IIE's) strategic intent is to inspire individuals to be citizens of change in a complex world. The IIE is committed to transformation and excellence in learning and teaching, scholarship, and community engagement. The postgraduate programme offerings evidence The IIE's intent to inspire graduates to further their postgraduate degrees and, in doing so, conduct research that solves complex challenges within their communities and industries. The research contributions from The IIE's academics and students follow the research ethics and integrity standards and best practices, which is testament to The IIE's commitment to transforming society and promoting excellence in research.
- (2) This Policy must be read with The IIE007 Procedure Document, Minimum Standards and all supporting templates available on the IIE website.

## 2 POLICY PURPOSE

- (1) The purpose of this Research and Postgraduate Studies Policy (IIE007) is to explicate the principles that govern various aspects of research and postgraduate studies, including the principles of ethical research at The IIE. These principles are based on the need to promote and support ethical research practices by both students and academics within The IIE, whether it is for the completion of a postgraduate degree or conducting scholarly work. Furthermore, the policy focuses on providing adequate support and quality assurance of postgraduate research reports, mini-dissertations, dissertations, and theses. The principles align with The IIE's intent in contributing towards the body of knowledge across disciplines and enabling postgraduate students to complete their studies within minimum completion time.

## 3 POLICY SCOPE

- (1) This policy applies to all staff participating in research activities and the students studying towards a postgraduate programme.
- (2) The research ethos of The IIE is upheld and applied across all research projects and/or postgraduate studies conducted in the name of The IIE.
- (3) Postgraduate studies principles, criteria, minimum standards, and procedures apply to all research projects, mini-dissertations, dissertations, and theses at The IIE.
- (4) Research conducted whilst in the employment of The IIE (including the respective divisions of The IIE or that emanate from postgraduate research projects, mini-dissertations, dissertations, and theses) must be affiliated with The IIE.

## 4 PRINCIPLES OF ETHICAL RESEARCH

### 4.1 Research Ethics

1. Research ethics is focused on a set of ethical principles that guide and inform the norms of research practice. The IIE is committed to upholding these ethical principles when conducting and/or participating in research activities.
2. All research activities conducted in the name of The IIE must align with the principles of ethical research as stated in the [Belmont Report](#) and [Singapore Statement on Research Integrity](#).
  - a) Drawing from the Belmont Report, the following three fundamental principles guide ethical research:
    - i. **Respect for persons** - which requires that individuals should be treated as autonomous agents capable of deliberation and decision making and those who have diminished autonomy are entitled to protection. In application, this means that participants must give fully informed consent, and those who are not able to do so should be excluded or deliberately protected;
    - ii. **Beneficence** - demands that researchers do no harm and that they maximise any possible benefits and minimise any possible harms; and
    - iii. **Justice** - the requirement is that the researcher can account for who benefits from the research and who bears its burden. The expectation is that the researcher can be sure that the benefit of research will not only be for those who already enjoy privilege in the area and that the burden (inclusion in samples for instance) does not disproportionately fall on those not able to exclude themselves or refuse.
  - b) Drawing from The Singapore Statement on Research Integrity, the following four self-explanatory principles should guide research integrity:
    - i. Honesty in all aspects of research.
    - ii. Accountability in the conduct of research.
    - iii. Professional Courtesy and Fairness in working with others.
    - iv. Good stewardship of research on behalf of others.
3. According to section 73 of the National Health Act (2003), every institution at which research involving humans and animals is conducted is to establish a Research Ethics Committee which is registered with the National Health Research Ethics Council (NHREC). As such, in the process of registering The IIE REC with NHREC, its operating procedures and structures are fully informed by and aligned with the guidelines provided in “*South African Ethics in Health Research: Principles, procedures, and Structures*” (3<sup>rd</sup> edition, NDOH 2024). These guidelines

- a) Describe the minimum national benchmark of norms and standards of ethical research (Terms of Reference of the IIEREC – Annexure R)
  - b) Explain the process of ethics review and provide guidance on specific topics and methodologies (Standard Operating Procedures – Annexure T)
  - c) Clarify the remits of Research Ethics Committees (Code of Conduct – Annexure S)
4. All research conducted as part of the qualification requirements at The IIE must obtain ethical clearance from The IIE Higher Degrees Committee or Campus Research Ethics Committee.
  5. All research conducted for non-qualification purposes that involves human or animal participants must obtain approval from The IIE REC.
  6. All external research requests that involve IIE employees, students, artefacts, or systems, to name a few, must obtain approval from The IIE REC prior to data collection.

## 4.2 Postgraduate Studies

- (1) The Independent Institute of Education's postgraduate qualifications serve to deepen the theoretical and applied engagement within a discipline or disciplines, enabling students to develop the capacity to conduct ethical research and, where applicable, contribute to the specific body of knowledge.
- (2) The research requirement embedded within a postgraduate qualification must align with the requirements of the research competencies and skillset required at that level.
- (3) Adequate and appropriate student support must be provided for students completing their research component of a postgraduate qualification.
- (4) Adequate and appropriate research and supervisory support must be provided for supervisors assigned to students completing their research component of a postgraduate qualification.
- (5) Master's by Dissertation and Doctoral candidates normally register for and complete the Proposal Development Programme for Non-Qualification Purposes (NQP), as this is an admission requirement to be formally admitted into the respective programmes. Master's by Coursework are exempted from this requirement.

## 4.3 Supervision Minimum Requirements

- (1) The principle of having a relevant one-up qualification within the cognate field to teach will apply to supervisors for postgraduate research projects offered on NQF level 8 programmes.
- (2) A supervisor on a Master's programme requires a minimum of an NQF level 10 qualification within the cognate field. However, 50% of all supervisors on specific

Master's programmes within a specific cohort may have obtained a NQF level 9 qualification within the cognate field. In addition, supervision, industry and professional experience within the relevant field of study must be considered where relevant, especially for the Professional Master's programmes.

- (3) A supervisor on a Doctoral programme requires a minimum of a NQF level 10 qualification within the cognate field and relevant supervision experience at this level. For professional doctorate programmes, industry and professional body experience must be considered where relevant.
- (4) Co-supervisors appointed on Master's and Doctoral programmes must meet minimum requirements for both types of programmes. Co-supervisors are appointed for the following reasons:
  - a) Firstly, to include relevant special discipline expertise where required, based on the study.
  - b) Secondly, to enable supervisor capacity development.
- (5) The Brand will provide adequate and appropriate supervisor capacity development opportunities focused on enhancing supervisor competencies and skill sets that promote the successful completion of postgraduate research projects.

#### 4.4 Examination and External Moderation

- (1) Examination of Master's by Coursework mini-dissertations is carried out by appropriately qualified discipline experts. Normally, a minimum of two examiners are appointed per mini-dissertation.
  - a) One internal expert examiner (those affiliated with The IIE) may be considered if it is not the supervisor examining the mini-dissertation.
  - b) External expert examiners cannot be affiliated with The IIE except for being external moderators on other programmes of The IIE.
- (2) Examination of Master's by Research dissertations is carried out by appropriately qualified discipline experts not affiliated with The IIE. A minimum of two external examiners is appointed per dissertation.
- (3) Examination of the Doctoral thesis requires three appropriately qualified discipline experts. One of the three examiners can be an internal discipline expert on the topic of the thesis. Two of the three examiners must be unaffiliated and independent external examiners. One of the two unaffiliated examiners must be an international discipline expert. In addition, a fourth appropriately qualified unaffiliated discipline expert must be identified, should a re-examination be required.
- (4) The appointed examiners are also required to lead the Viva Voce.
- (5) Doctoral candidates are required, as part of the graduation requirements, to showcase their mastery of discourse and internalisation of the study conducted. The *viva voce* confirms not only the candidate's comprehension of written material but also their verbal

adeptness in academic discussions. Additionally, the thesis showcases the original contribution to the field, positioning it within the broader context, ultimately determining if it attains the high standard deserving of the degree awarded.

- (6) Re-examination may be requested on all examined Master's by Coursework mini-dissertation, Master's by Dissertation, and Doctoral Theses where the candidate provides substantive evidence that they might have been disadvantaged through the examination process.
  - a) If a re-examination is approved, the outcome of the re-examined Master's mini-dissertation and dissertation or recommendation for acceptance of the Doctoral thesis is final. All previous marks or recommendations will be disregarded.
- (7) The IIE007 Procedure document outlines the examination procedure and requirements for meeting all graduation requirements.
- (8) External and Internal moderation requirements are detailed in The IIE's Assessment Strategy and Policy (IIE009) for modules and NQF level 8 research projects offered on the NQF level 8 and 9 programmes.

#### **4.5 Research Publication and Institutional Affiliation<sup>13</sup>**

- (1) All authors listed on a research publication output must make a meaningful intellectual contribution and take responsibility for the content being published.
- (2) Research outputs must bear appropriate acknowledgement with full affiliation to The Independent Institute of Education and the relevant brand (Emeris/ Rosebank College). Independent supervisors who are required to acknowledge their primary academic affiliation may apply a joint-affiliation that acknowledges The Independent Institute of Education and the relevant brand (Emeris/ Rosebank College) as the lead institution.
- (3) All research outputs by staff need to be published with The IIE affiliation if such work has been finalised while employed at The IIE. If the researcher has a dual affiliation, then The IIE should be listed as the first affiliation for The IIE researcher to obtain the associated points.
- (4) Any research output by IIE staff that is granted ethical clearance by The IIEREC should be published under IIE affiliation.
- (5) All research outputs should include the author's association, and should there be dual academic affiliation or association with the publisher, it must be noted accordingly. The IIE retains the portion of the Intellectual Property of research outputs associated with and produced by The IIE researchers (students and/ or staff).

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<sup>13</sup> Approved via Round Robin on 06 February 2026

- (6) Where research outputs are derived from student research projects or studies, students must be offered first authorship if they participate in manuscript preparation. If students decline or do not respond to reasonable requests to co-author with their supervisor within an agreed timeframe, supervisors may proceed as first author, provided the student is appropriately acknowledged and the Brand research office is notified prior to submission.