

## CHS Responsible Conduct in Research and Scholarship Policy

<b>Document ID</b>	<b>CHS Responsible Conduct in Research and Scholarship Policy</b>
<b>Category</b>	Academic
<b>Document Owner</b>	Dean
<b>Approved by</b>	Academic Board
<b>Authorised by</b>	Academic Board

### Version Control

Version	Summary of changes	Approval date	Review Date
1.0	Document Established	Academic Board: 16 October 2018 Governing Board: 23 October 2018	
2.0	Revised in response to external review, report of January 2019	Academic Board: 31 January 2019	31 January 2021

## Table of Contents

1.	Purpose	2
2.	Scope	2
3.	Definitions	2
4.	Principles of Responsible Research	3
5.	Institutional Responsibilities	3
6.	Responsibilities	6
7.	Scholarship and Research Committee Terms of Reference	6
8.	Responsibilities of Academic Staff	7
9.	Research Development	8
10.	Register of Scholarship and Research Activities	8
11.	Related Documents	8
12.	Related Legislation	8

## 1. Purpose

The ECA College of Health Sciences (CHS) expects the highest standards of integrity in all aspects of research conducted directly by staff and students of the College, or through partnerships with other Institutions. 'Research must be conducted according to appropriate ethical, legal and professional frameworks, obligations and standards in a research environment underpinned by a culture of integrity' (Australian Research Council). This policy has been adopted to fully conform to and apply [the Australian Code for the Responsible Conduct of Research](#) (2018). It establishes the rules that govern staff as they develop evidence-gathering activities for CHS students to ensure they do not require ethics approval; govern the conduct by staff of ethical low-risk internal scholarship of teaching and learning (SOTL) and research; and govern the conduct by staff of research or HDR supervision with external partners. It also covers projects undertaken by students as part of fulfilling the requirements of their capstone units, even though these are not classified as research projects.

[The Australian Code for the Responsible Conduct of Research 2018](#)

[Values and Ethics: Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research \(2003\)](#)

[The Australian Institute of Aboriginal and Torres Strait Islander Studies Guidelines for Ethical Research in Australian Indigenous Studies \(2012\)](#)

[The Australian code for the care and use of animals for scientific purposes \(2013\)](#)

[Australian Standard Research Classification \(ASRC\), 1998](#)

## 2. Scope

This policy applies to all staff and students undertaking research and or scholarship at CHS. All staff and students must follow the Australian Code for the Responsible Conduct of Research and also ensure they comply with the CHS Academic Integrity Policy and Procedures as well as other related policies, particularly the CHS IP Policy and Procedures and the CHS Copyright Policy.

## 3. Definitions

Item	Definition
<i>Academic activity</i>	Includes and is not limited to developing, delivering, attending or otherwise participating in lectures, tutorials or other modes of delivery (e.g. internships); planning, producing or supervising research; or otherwise sharing knowledge, experience, or skills with others.
<i>Academic integrity</i>	Actions aligned with values of honesty, trust, fairness, respect and responsibility in learning, teaching and research.
<i>Research</i>	includes the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions and understandings. This could include the synthesis and analysis of previous research to the extent that it is new and creative (Australian Code for the Responsible Conduct of Research)
<u><i>Low Risk Research</i></u>	The expression 'low risk research' describes research in which the only foreseeable risk is one of discomfort. Research in which the risk for participants is more serious than discomfort is not low risk.
<u><i>Negligible Risk</i></u>	The expression 'negligible risk research' describes research in which there is

<u>research</u>	no foreseeable risk of harm or discomfort; and any foreseeable risk is no more than inconvenience. The Code 2007
<u>Scholarship</u>	The term 'scholarship' refers to mastery of discipline and the scholarship of teaching and learning (SOTL). This refers to disciplinary content knowledge and knowledge of effective general and discipline-specific pedagogical practices that are public, susceptible to critical review and evaluation, and available to share with/inform the scholarly community.

## 4. Principles of Responsible Research

The Australian Code for the Responsible Conduct of Research (the Code) is based on eight key principles of responsible research conduct and these are adopted by CHS. The principles are as follows:

1. **Honesty:** In developing, undertaking and reporting information must be presented truthfully and accurately.
2. **Rigour:** Apply attention to detail, robust methodology, and awareness/acknowledgement of biases in developing, undertaking and reporting research.
3. **Transparency:** Share and communicate research methodology, data and findings openly, responsibly and accurately when declaring interests and when reporting research methodology and findings. This includes disclosing and sharing conflicts of interest.
4. **Fairness:** Treat fellow researchers and others involved in the research fairly and with respect. This includes giving credit for work through citations of other researcher's work and through acknowledgement of those who have contributed to the research.
5. **Respect:** This applies to research participants, the wider community, animals and the environment and requires that all of these groups are treated with care and respect, especially minority groups and vulnerable people.
6. **Recognition of the right of Aboriginal and Torres Strait Islander (ATSI) peoples in relation to research:** This requires that ATSI groups are (a) specifically acknowledged, valued and respected; (b) involved in decision-making about any research that affects or is of particular significance to them; and (c) receive reports about the outcomes of research in which they have been engaged.
7. **Accountability:** In developing, undertaking and reporting research it is required that researchers comply with relevant legislation, policies and guidelines, ensure good stewardship of any public resources, such as grants, used to conduct the research and carefully consider the consequences and outcomes of research before its communication.
8. **Promotion:** Institutions must promote and foster a research culture and environment that supports the responsible conduct of research.

## 5. Institutional Responsibilities

The Code defines 13 key institutional responsibilities through which institutions meet their obligation to encourage and support responsible research conduct. The College meets these responsibilities as follows:

1. *Establish and maintain good governance and management practices for responsible research conduct.*

The governance of scholarship and professional development activities has been delegated to the Academic Board by the Governing Board. The Academic Board has a Scholarship and Research Committee, with delegated responsibility to monitor all research and scholarship conducted by

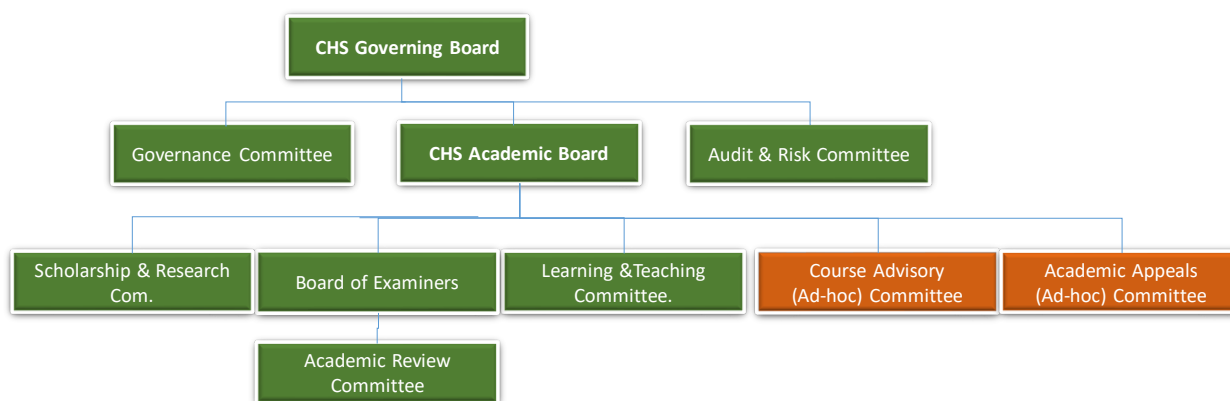
staff internally within the College, or with external partners. The Committee shall refer to the Academic Board and the Academic Board shall be the body to determine if a proposed scholarship or research activity is of low to negligible risk to be undertaken at CHS;

2. *Identify and comply with relevant laws, regulations, guidelines and policies related to the conduct of research.*

The College ensures that only research that is low or negligible risk is conducted by CHS staff and students under the oversight of the CHS Scholarship and Research Committee of the Academic Board and monitored by the Audit and Risk Committee of the Governing Board. Consistent with this Policy’s requirements all research and scholarship activities at CHS are required to comply with the Code and to be conducted pursuant to the applicable laws, regulations, guidelines and policies.

Note that CHS students will only be approved to engage in negligible-risk evidence-gathering, problem-solving, and analysis activities.

Where academic staff at CHS wish to conduct research with an external research partner, ethics approval (if required) must be sought and gained through the partner institution and be presented to the CHS Dean before workload can be granted. All documents related to the ethical conduct of the research submitted through the partner institution, including progress and end-of-project reports, must be provided to the Dean and added to the Register of Scholarship and Research Activities. Where academic staff at CHS wish to join a Higher Degree Research (HDR) supervisory panel at another institution, the research conducted by the HDR candidate, and the involvement of the CHS academic staff on the panel, will be governed by the policy and procedures of the enrolling institution.



**Figure 1: Governance Structure at CHS**

3. *Develop and maintain the currency and ready availability of a suite of policies and procedures which ensure that institutional practices are consistent with the principles and responsibilities of the Code.* Through the application of a suite of policies and guidelines adopted by the CHS the College shall ensure that all research and scholarship activities will be performed in a compliant manner. These include the Responsible Conduct in Research and Scholarship Policy, the CHS Academic Integrity Policy and Procedures, and the Staff Code of Conduct.
4. *Provide ongoing training and education that promotes and supports responsible research conduct for all researchers and those in other relevant roles.*

The College shall organise appropriate ongoing training for staff and students to inform them of the principles of responsible research and scholarship conduct and practical ways to ensure compliance with the respective codes.

5. *Ensure supervisors of research trainees have the appropriate skills, qualifications and resources.*

The College does not plan to undertake research training and thus this requirement does not apply to CHS.

Where CHS staff are invited and approved to join an HDR supervisory panel at another Institution, they will be required to meet that Institution's appointment standards for those supervisory roles.

The Scholarship and Research Committee of the Academic Board shall review the list of topics allocated to individual staff supervising student projects to ensure that they have the prerequisite skills and qualifications to guide students under their supervision.

6. *Identify and train Research Integrity Advisors who assist in the promotion and fostering of responsible research conduct and provide advice to those with concerns about potential breaches of the Code.*

The CHS Scholarship and Research Committee of the Academic Board shall appoint a Research Integrity Advisor to monitor and assist with the promotion and fostering of responsible research conduct, provide advice on individual cases where required, and ensure that CHS students only engage in negligible-risk evidence-gathering, problem-solving, and data analysis activities.

7. *Support the responsible dissemination of research findings. Where necessary, take action to correct the record in a timely manner.*

The College will allocate a budget to support staff to disseminate research findings via: workload, internal seminars, presentation at conferences and symposia and academic journal or professional publications. The dissemination of research findings at CHS is overseen by the Scholarship and Research Committee under the Academic Board watch.

8. *Provide access to facilities for the safe and secure storage and management of research data, records and primary materials and, where possible and appropriate, allow access and reference.*

CHS has a secure cloud-based platform for document storage and management (SharePoint) and staff can store and manage their own data with the appropriate levels of protection. 'Good research data management practice enables researchers to conduct their research more efficiently, offers greater opportunities for sharing and reusing the research data and allows for better management of research resources' (*Doing Data Better*, University of Melbourne, 2019). CHS researchers 'have a responsibility to consider the management and future potential of their research data, taking into account the particular approaches, standards and uses for data that may exist in different institutions, disciplines and research projects' (ARC Research Data Management, 2019). Where staff are part of an approved external research partnership, research data must be stored at the lead partner institution. Where CHS staff are conducting approved internal low- and negligible- risk, including SOTL, data will be stored for five years in the staff member's personal SharePoint account.

9. *Facilitate the prevention and detection of potential breaches of the Code.*

Academic staff under the leadership of the Dean and the Directors of Studies at CHS have a primary responsibility for the prevention and detection of potential breaches of the Code. In addition, the Scholarship and Research Committee shall have an oversight of the whole process to ensure compliance with the Code. The Audit and Risk Committee of the Governing Board will monitor

compliance with the Code and management of any potential risks associated with the scholarship and research activities of staff and students.

10. *Provide mechanisms to receive concerns or complaints about potential breaches of the Code. Investigate and resolve potential breaches of the Code.*

The Scholarship and Research Committee at CHS bears these responsibilities. The Audit and Risk Committee will monitor compliance with the Code. The notification and investigation of allegations of misconduct in scholarship will be in accordance with the [Guide to Managing and Investigating Potential Breaches of the Code, 2018 \(the Investigation Guide\)](#).

11. *Ensure that the process for managing and investigating concerns or complaints about potential breaches of the Code is timely, effective and in accord with procedural fairness.*

The Scholarship and Research Committee at CHS bears these responsibilities. The CHS Academic Integrity Policy and Procedures also provide mechanisms to deal with allegations of misconduct consistent with the [Guide to Managing and Investigating Potential Breaches of the Code, 2018 \(the Investigation Guide\)](#).

12. *Support the welfare of all parties involved in an investigation of a potential breach of the Code.*

The CHS Academic Integrity Policy and Procedures also provide mechanisms to support the welfare of all parties involved in an investigation of an academic misconduct.

13. *Base findings of investigations on the balance of probabilities and ensure any actions are commensurate with the seriousness of the breach.*

The CHS Academic Integrity Policy and Procedures differentiate and deal with minor academic misconducts and major academic misconducts separately.

## 6. Responsibilities

The Dean and Directors of Studies are responsible for the implementation of this policy including provision of evidence trail to demonstrate full compliance with the Code. The Academic Board has the responsibility to monitor and satisfy itself that the conduct of research and scholarly activities at CHS is fully compliant with this policy and the Code. The Academic Board shall delegate responsibility for monitoring and reporting to the Scholarship and Research Committee (which is sub-committee of the Academic Board) while retaining the overall control role. The SRC or the Academic Board shall receive 6 monthly reports from the Dean or Directors of Studies on the status of scholarly activities at CHS.

## 7. Scholarship and Research Committee Terms of Reference

The Scholarship and Research Committee has delegated authority from the Academic Board to undertake the following responsibilities:

- Encourage and guide staff to undertake research and the SOTL and monitor compliance with the Code, in line with the CHS Responsible Conduct in Research and Scholarship Policy;
- Advocate and facilitate academic and scholarship activities related to the discipline expertise and scholarship of teaching and learning;
- Develop, disseminate and monitor Guidelines for staff and students;
- Appoint a Research Integrity Advisory

- Ensure that applications to conduct research with vulnerable populations, including Aboriginal and Torres Strait Islander peoples, are not approved. Research with said populations cannot be argued to be negligible or low risk. Where a CHS staff member is approved as a member of an external research panel that involves working with vulnerable populations, special consideration will be given to the ethics application submitted to, or approved by, the partner institution.
- Oversee the ongoing maintenance of a register of approved scholarship, research and SOTL activities;
- Provide the Academic Board with advice and reports regarding research and SOTL activities; and
- Propose appropriate policies and guidelines to support scholarship and research.

## 8. Responsibilities of Academic Staff

Academic staff at CHS have a responsibility to consult with the Research Integrity Officer to ensure that CHS students only engage in negligible-risk scholarly evidence-gathering, problem-solving and data analysis activities.

CHS staff must ensure that they meet the requirements of the CHS Responsible Conduct in Research and Scholarship Policy and related policies.

The College shall require all academic staff at CHS to fully observe and discharge these responsibilities individually and when working in teams where applicable, viz.

1. Support a culture of integrity and responsible research conduct at CHS and in their field of practice.
2. Provide guidance and mentorship on responsible research conduct to other researchers.
3. Undertake and promote education and training in integrity and the responsible research conduct.
4. Comply with the relevant laws, regulations, disciplinary standards, ethics guidelines and institutional policies related to responsible research conduct. Ensure that appropriate approvals are obtained before the commencement of research, and that conditions of any approvals are adhered to during the course of research.
5. Ensure that the ethics principles of research merit and integrity, justice, beneficence and respect are applied to human research.
6. Adopt methods appropriate to the aims of research and ensure that conclusions are justified by the results.
7. Retain clear, accurate, secure and complete records of all research including research data and primary materials. Where possible and appropriate, allow access and reference to these by interested parties.
8. Disseminate research findings responsibly, accurately and broadly. Where necessary, take action to correct the record in a timely manner.
9. Disclose and manage actual, potential or perceived conflicts of interest.
10. Ensure that authors of research outputs are all those, and only those, who have made a significant intellectual or scholarly contribution to the research and its output, and that they agree to be listed as an author.
11. Acknowledge those who have contributed to the research.
12. Cite and acknowledge other relevant work appropriately and accurately.
13. Participate in peer review in a way that is fair, rigorous and timely and maintains the confidentiality of the content.
14. Report suspected breaches of the Code to the relevant institution and/or authority

## 9. Research Development

The Scholarship and Research Committee in consultation with Academic Board will be responsible for ensuring that academic and professional staff at CHS will be provided with opportunities appropriate to their roles that enable CHS to build a robust, scholarly, inquisitive and accountable research culture underpinned by a culture of integrity.

## 10. Register of Scholarship and Research Activities

The Scholarship and Research Committee has a delegated authority from the Academic Board to monitor the College's compliance with the Code and other guidelines published by the respective authorities. The Committee shall require the Dean or nominee to maintain a register of research activities, including the SOTL, at CHS, and to regularly update this register. In addition, the Dean or nominee shall submit the updated register and a written performance report to the Committee every 6 months to enable the Committee to analyse the performance and compliance aspects of research activities and to guide the Dean and the faculty in their pursuit of a robust research culture underpinned by integrity, inquisitiveness, productivity, the pursuit of new knowledge, and performance improvement.

## 11. Related Documents

- CHS Scholarship and Research Plan
- CHS Freedom of Intellectual Inquiry Policy
- CHS Staff Code of Conduct
- CHS Academic Integrity Policy and Procedures
- CHS Academic Staff Development Policy
- CHS Copyright Policy

## 12. Related Legislation

- TEQSA Higher Education Standards Framework (Threshold Standards) 2015 Higher Education Support Act 2003
- Tertiary Education Quality and Standards Agency (TEQSA) Act 2011
- Education Services for Overseas Students (ESOS) Act 2000 and National Code of Practice for Providers of Education and Training to Overseas Students 2018 (National Code 2018)
- Australian Qualifications Framework (AQF).