



CHRISTIAN HERITAGE COLLEGE

POLICY: Research Code of Conduct

Policy Group(s): Group B: Academic – 1: Students; 2: Staff (Ref: B2/0812.1)

Related Policy: Academic Integrity
Code of Conduct
Staff Grievance

Commencement Date: January 2013

Review Date: July 2013

POLICY STATEMENT

Intent:

Christian Heritage College is committed to the development of a research culture which upholds the highest level of professional, personal and ethical conduct, and which is consistent with CHC's scriptural foundation.

Such a culture is integral to CHC's resolution to support excellence in research and holds researchers responsible for rigour and integrity in all scholarly and research activity.

This policy outlines CHC's standards in relation to research and scholarly practice.

Scope:

All academic staff at CHC including visiting and conjoint appointees. All research higher degree students at CHC.

Research and/or technical staff external to, but employed by, CHC for the purposes of research.

Restrictions: Nil

Exclusions: Nil

Objectives:

1. To provide clear guidelines for research and scholarly activities.
2. To provide clear definitions of research and scholarly activities.
3. To provide clear guidelines regarding correct ethical procedures for research activity.
4. To provide clear guidelines for the consequences for misconduct in research.
5. To maintain compliance with relevant CHC policies, and governmental legislation, regulations and codes.

Policy Provisions:

1. General

- 1.1 It is a basic assumption that research staff, and postgraduate research students, are committed to high standards of professional and ethical conduct. Researchers have a responsibility to ensure that their work enhances the reputation of CHC, furthers the development of scholarly activity in the college and adheres to the scriptural foundation to which it belongs.
- 1.2. Research within CHC must be conducted in accordance with the principles laid down in this policy and in the related documents it lists, with codes of relevant external agencies and funding bodies, and legislative requirements.

2. Research Defined

- 2.1. Research and scholarly activity in this document is defined as all original creative activity that involves 'discovery' or 'integration'. *Discovery* refers to: development of theory that can be applied to new situations, issues or problems and/or that generates new concepts, methodologies or understandings; systematic, rigorous empirical investigation that results in new knowledge; and creation of significant original works in the arts. *Integration* refers to: synthesis, analysis and interpretation of existing knowledge aimed at improving human understanding; and public performance in the arts. Research at CHC informs teaching and includes both discovery and integration. This may be conducted externally or internally by staff or by higher-degree research students at CHC. It includes, but is not limited to, research projects, conference presentations, production of books, book chapters, original artworks and compilations, reportable and non-reportable journal articles and supervision of higher-degree research students.

3. Research Ethics

- 3.1. CHC and its researchers have a responsibility to ensure the safety and wellbeing of all those associated with research.
- 3.2. All research conducted at CHC must comply with established ethical guidelines such as the *National Statement on Ethical Conduct in Research Involving Humans*; and the *Australian Code of Practice for the Care and Use of Animals for Scientific Purposes*.
- 3.3. All Category 1 research involving the use of humans as research subjects must be approved by the CHC Human Research Ethics Committee (HREC)¹. Without exceptions, no experimentation can take place without ethics clearance. Research involving human participants includes:
 - taking part in surveys, interviews or focus groups;
 - undergoing psychological, physiological or medical testing or treatment;
 - being observed by researchers;
 - access to their personal information through databases, medical records, documents or other materials.
- 3.3. All Category 2 research involving the use of humans as research subjects must be approved through the CHC expedited human research ethics process.

¹ Under an agreement with Avondale College of Higher Education (Avondale), the CHC Human Research Ethics Committee is the Avondale Human Research Ethics Committee. This is consistent with Chapter 5.1, paragraph 5.1.3 of the *National Statement on Ethical Conduct in Human Research*.

- 3.4. CHC HREC clearance is not required for:
- market research;
 - use of non-identifiable statistical and/or archival data;
 - research for the purpose of reviewing current teaching programs, courses, policies or procedures, provided the nature of the research involves only minimal risk to participants and the findings will not be published or presented externally;
 - projects that are not reporting on or publishing the results of the findings externally provided the nature of the research involves only minimal risk to participants;
 - data collected in a class context, or individual student projects where the results will be used only for educational purposes within the confines of that class, and the intention is not to disseminate results externally.
- 3.5. The expedited human research ethics process requires approval of the relevant research by a panel consisting of the Chair, CHC Research Committee, plus one member of the CHC academic staff who has research experience, plus one member external to CHC who has research experience.

4. Informed Consent

- 4.1. It is the responsibility of the researcher to ensure that consent is fully informed and freely given by participants. This may be indicated through the use of signed and dated consent forms from the participant or, in the case where the participant is unable to sign due to age, language or physical or mental disability, an appropriate representative.

To ensure confidentiality consent forms must be stored in a secure location separately from the research data from that project and kept for a minimum period of five (5) years.

5. Retention and Security of Data

- 5.1. Research records and data must be retained and stored securely and should be able to be quickly and easily identified and retrieved when required.
- 5.2. All data involving questionnaires, consent forms, surveys, interviews or observations of human participants, and/or research involving animals must be retained and stored in an appropriate durable form. This includes, but is not limited to, paper, electronic or photographic records.
- 5.3. All original data must be stored on CHC premises. Researchers who leave CHC within a period of five years of the collection of the data should ensure that CHC retains a copy of the data.
- 5.4. Research data and records must be stored securely in lockable filing cabinets or a lockable room with restricted access. Data stored electronically must be protected through the use of password access and other appropriate data locking systems.
- Access to data from individual projects must be limited to the research team members for that project and the CHC Research & Publications Co-ordinator.
- 5.6. Research data related to publications should be made available for discussion with other researchers (unless confidentiality provisions apply).
- 5.7. The minimum data retention period is five (5) years from the date of any publication, five years following the completion of the research if publication is not intended, or the minimum period specified by the sponsor or funding agency.

- 5.8. The destruction of research data for any project must be approved by the Research Committee, on the recommendation of the researcher(s).
- 5.9. Research data and materials remain the property of CHC, unless subject to a third party agreement.
- 5.10. In the event of legal action research data and records may be accessed by the Chair of the Research Committee, and where appropriate the CHC Principal, in order to determine their relevance in any potential litigation and, if necessary, removed for use in the litigation.
- 5.11. Research data and records are subject to subpoena.

6. Privacy and Confidentiality

- 6.1 Confidential information must be used only for the purpose for which it was made available.
- 6.2 Researchers must maintain the confidentiality of any information to which they have been given access to in accordance with the guidelines laid down by the CHC HREC. This includes ensuring secure storage for confidential information as detailed in Section 5: Retention and Security of Data above.
- 6.3 Confidentiality agreements to protect intellectual property rights must be agreed between CHC, the researcher, partner organisations and sponsors of the research. Any limitations and restrictions regarding the dissemination of the research must be agreed explicitly.

7. Dissemination of Results

- 7.1. CHC recognises the importance of widely disseminating research results. These may include presentation at relevant CHC research forums, local community, regional networks and the international community.
- 7.2. Research results are shared through publications in professional journals, book chapters, books, and conference presentations.
- 7.3. Less formal mechanisms may include, but are not limited to, general, non-reportable publications, internal CHC publications, presentations at appropriate CHC research forums, and/or presentation at community forums.

8. Publication

- 8.1. Researchers must ensure that published materials and research results and information made available to the public are complete and accurate.
- 8.2. Researchers must describe accurately the state of publication (in preparation, submitted, under review, accepted for publication, in press) and sources of financial support (if applicable).

Where research that has not yet been subjected to peer review, researchers must disclose fully that the work has not been published and the peer-review processes to which it will be subjected.

- 8.3. Researchers must not deliberately include inaccurate or misleading information relating to research activity in curriculum vitae, grant applications, or job applications.
- 8.4. Researchers must correct the record as soon as possible if he/she becomes aware of unintentional misleading or inaccurate statements about their work.

- 8.5. The publication of research findings must be complete, and include any results which may be contrary to the hypothesis and/or conclusion.
- 8.6. Publication of multiple full papers drawing the same conclusions from the same set of research findings is not acceptable, except where there is full cross-referencing within the papers (for example, by reference to a preliminary publication at the time of publication of the complete work). Simultaneous submission to more than one journal or publisher of material based on the same set(s) or sub-set(s) of data should be disclosed to the editor(s) at the time of submission.
- 8.7. Research findings should not be reported in public forums until they have been reported to a research audience through conference presentations and/or publication in a peer-reviewed journal.

9. Authorship

- 9.1. The minimum requirement for authorship of a publication is substantial scholarly contribution to the work. In all cases this includes:
 - conception and design; and/or
 - analysis and interpretation of data; and/or
 - drafting the paper or revising it in a way that has a significant bearing on the interpretation.
- 9.2. Acquisition of funding, data collection, and general supervision/co-ordination of the research group, do not justify authorship.
- 9.3. An individual who meets the above criteria for authorship must not be excluded as an author without their permission in writing.
- 9.4. All authors must have final approval of the version to be published.
- 9.5. All others who have contributed to the work and who are not authors, including research assistants, students and other relevant staff, and individuals or organisations providing access to facilities, data or other relevant materials must have their contribution fully acknowledged
- 9.6. Where there is more than one author of a publication, one author (by agreement among the authors) should formally accept overall responsibility for the entire publication.
- 9.7. All authors should keep a record of the location of all data relevant to each publication and be able to access this data quickly.
- 9.8. Researchers must adhere to the *Academic Integrity* policy, ensuring accurate referencing of the relevant work of others.
- 9.9. The minimum requirement for authorship of a creative work is substantial scholarly contribution to the work. In all cases this includes:
 - conception and design of the creative work; and/or
 - substantial contribution to production.

10. Disclosure of Conflicts of Interest

- 10.1 All CHC researchers have an obligation to avoid actual and/or potential conflicts of interest.

- 10.2 Researchers have an obligation to disclose to their research team leader, co-researchers, and the CHC Research Committee, any affiliation with or financial involvement in any organisation or entity with a direct interest in or in the provision of materials for the research. Examples of conflicts of interest include where a researcher (or a member of their family) has a financial interest in the funding agency, or benefits in-kind such as travel and accommodation expenses to attend conferences.
- 10.3 When a conflict of interest arises at the time of reporting or proposing research, and this conflict of interest has the potential to influence research, publication and/or grant applications researchers have an obligation to disclose the details to the CHC Research Committee, and any funding agencies.

11. Collaborative Research

- 11.1 CHC supports collaborative research with schools and researchers within CHC, nationally and internationally.
- 11.2 Where a joint external research project exists all agreements should be clearly articulated in writing between CHC and the partner organisation(s). Agreements must address issues to do with ownership of intellectual property, confidentiality, responsibility for ethics, ownership and location of research data and materials, and reporting.

12. Ownership of IP Rights Arising From Research Conducted By Staff and/or Higher Degree Research Students

- 12.1 This policy reinforces the principles detailed in the *Intellectual Property* policy and should be read in conjunction with that document. Individual researchers are responsible for being familiar with and for applying this policy.

13. Supervision of Students / Research Trainees²

- 13.1. Supervision of each research student (including honours, masters and doctoral students and postdoctoral fellows) should be assigned to an appropriately qualified researcher.
- 13.2. The ratio of research students/trainees to supervisors should be small enough to ensure effective supervision of the research.
- 13.3. Research supervisors should provide students with written copies of relevant governmental and CHC policies for the responsible conduct of research, including those covering ethical requirements.
- 13.4 The supervisor must ensure the appropriateness of research methods and validity of research data obtained by a student under his/her supervision, and where possible, ensure that the work submitted by research students is their own.
- 13.5. Supervisors must ensure that research students are appropriately acknowledged for their work.
- 13.6. Research supervisors should ensure that any Intellectual Property embodied in the research is protected appropriately.
- 13.7. Where feasible, the Chair of the Research Committee should be actively involved in research supervision.
- 13.8. Staff and students must comply with the *Risk Management - Academic Activities* policy.

² Section 13 is not applicable at this time.

14. Disputes

14.1 Team member disputes or grievances arising out of research activity including publications should be referred to the principal researcher of the project for resolution or the Research Committee where appropriate. Disputes among staff members will be dealt with in accordance with the appropriate grievance policy, except in cases of Research misconduct which will be dealt with in accordance with Section 15 of this policy.

15. Research Misconduct

15.1 Researchers must comply with the *Procedure for the Handling of Academic Integrity and Plagiarism* policy in addition to this policy. Failure to comply with these policies may be grounds for disciplinary action.

15.2 Any allegation of non-compliance or misconduct will be dealt with in accordance with the above CHC policies. Persons considering making an allegation should consult an appropriate advisor as nominated by the Research Committee.

15.3 Research misconduct may include, but is not limited to, the following:

- undertaking of research without ethical approval, failure to follow research methodologies as approved by CHC HREC;
- fabrication and/or falsification of data (i.e. claiming results where none has been obtained; changing records);
- plagiarism (as defined in the *Procedure for the Handling of Academic Integrity* policy);
- listing as an author individuals who have not contributed to the work according to the criteria for authorship as detailed in this policy;
- failure to declare or manage a conflict of interest;
- concealment of the research misconduct of others;
- infringement of this policy and/or related CHC policies and/or relevant governmental policies for responsible conduct of research that is either intentional or caused by negligence.

15.4 In the event that a matter may be the subject of investigation or action under more than one process (such as a similar process of another organisation) the Principal, in liaison with all relevant parties, will approve an arrangement whereby the matter can be investigated in a manner that will minimise unnecessary duplication of processes.

15.5 Where an allegation of misconduct is under investigation the Principal will, as appropriate:

- ensure that the relevant research project or scholarly activity is suspended until it has been fully investigated;
- inform grant funding bodies, partner organisations, the HREC, and other relevant parties, that the matter is under investigation;
- take such other action as may be necessary to protect the interests of CHC, and ensure a duty of care towards staff members, students, research participants, the public, funding bodies and, partner organisations involved in the research.

15.6 In a case of misconduct, CHC must comply with other relevant governmental policies and procedures for responsible conduct in research such as the *Australian Code for the Responsible Conduct of Research*.

15.7 CHC may, if necessary, exercise its right to take legal or other action against the researcher or a third party.

Supporting Procedures and Guidelines:

Nil

POLICY FURTHER INFORMATION

Relevant Commonwealth/ State Legislation	Australian Code for the Responsible Conduct of Research National Statement on Ethical Conduct in Research involving Humans Australian Code of Practice for the Care and Use of Animals for Scientific Purposes
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ACCOUNTABILITIES

Implementation:	Research Committee
Compliance:	Research Committee
Monitoring and Evaluation:	Research Committee
Development/Review:	Research Committee, Academic Board
Approval Authority:	Academic Board
Interpretation and Advice:	Research Committee

WHO SHOULD KNOW THIS POLICY?

Academic staff, including visiting and adjunct academic staff
Research and technical assistants external to, but employed by, CHC to conduct research
Higher degree research students

EFFECTIVENESS OF THIS POLICY

Performance Indicators:	<ul style="list-style-type: none">• Research output• The number of allegations of research misconduct• The number of allegations resolved
Other	Nil
Definitions and Acronyms:	CHC – Christian Heritage College Researcher – any academic staff member who in the course of their employment engages in research, publication, or related scholarly activities Student Researcher – any honours or postgraduate student undertaking a research thesis Category 1 Research – any research that entails a level of risk other than negligible or low as set out in the National Statement on Ethical Conduct in Human Research, Chapter 2.1 (available at http://www.nhmrc.gov.au/guidelines/publications/e72).

Category 2 Research – any research that entails a level of risk that is negligible or low as set out in the National Statement on Ethical Conduct in Human Research, Chapter 2.1 (available at <http://www.nhmrc.gov.au/guidelines/publications/e72>).

APPROVAL – section maintained by the Registrar

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REVISION HISTORY – section maintained by the Registrar

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