

TABOR

RESEARCH POLICY

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Related Documents:	Assessment Policy Code of Conduct Policy Intellectual Property Policy Staff Misconduct Management Policy Student Integrity Policy Student Grievance Policy Staff Recruitment, Selection and Appointment Policy	
Responsible Officer:	Registrar	
Review:	Scholarship Committee	

Any person who requires assistance in understanding any aspect of this document should contact the Responsible Officer

1. Overview

Tabor is committed to ensuring that the research undertaken by its staff and students is pursued in accordance with the highest standards of professional, personal, and ethical conduct. The purpose of this policy is to formalise this commitment by outlining the rights and responsibilities of researchers and the College in relation to responsible research practice, authorship, ownership, management of intellectual property, publication, research partnerships, misconduct in research, supervision, recording research output, and research methods education. In doing so, this policy establishes a research framework for the responsible execution of high quality research that complies with the [Higher Education Standards Framework](#) (Threshold Standards) 2015 4.1 and 4.2 (from now on HESF) and upholds the principles set out in the [Australian Code for the Responsible Conduct of Research](#).

2. Scope and Applications

This policy applies to all researchers who are conducting research under the auspices of Tabor, including staff, students and partners.

3. Policy Principles

3.1. Responsible Research Practice

3.1.1. The College will encourage and guide a research culture characterised by:

- honesty, integrity, ethical conduct and accountability;
- respect for human research participants, and the environment;
- good stewardship of resources used to conduct research;
- appropriate acknowledgement of authors and other participants in research;
- appropriate standards of data storage;
- responsible communication of research results
- adherence to Tabor’s Student Integrity Policy and Tabor’s Code of Conduct Policy

3.1.2. The College will support the responsible conduct of research by:

- promoting awareness of relevant legislation and guidelines relating to research conduct;
- establishing clear policies and procedures based on the [HESE](#);
- actively encouraging mutual cooperation with open exchange of ideas between peers, and respect for freedom of expression and inquiry;
- maintaining an environment in which responsible and ethical behaviour in research is expected.

3.2. Authorship

3.2.1. The minimum requirement for authorship of a research work is significant scholarly contribution to said work. This contribution must include two of the following three activities:

- conception and design of the project;
- analysis and interpretation of the research data;
- drafting significant parts of the manuscript or critically revising it so as to contribute to the interpretation.

3.2.2. The minimum requirement for authorship of a creative work is significant contribution to the work. This contribution includes:

- conception and design of the creative work and/or
- significant contribution to the production.

3.2.3. Authorship cannot be justified on the basis of a position of authority, facilitating the acquisition of funding, the routine supervision/co-ordination of the research, or providing a technical contribution such as data or materials from third parties. In this context, “honorary” authorship is not acceptable.

3.2.4. An individual who meets the above criteria for authorship must not be excluded as an author without their permission in writing.

3.2.5. Publication may not proceed if any of the authors have legitimate reservations concerning the work to be published.

3.2.6. Each author must take public responsibility for the part of the work they contributed. However, in the case of multiple authors, one author (by agreement between the authors) should take overall public responsibility for the entire publication.

3.2.7. Where the contribution to the research and publication has not been sufficient to warrant the status of author, such a contribution must be acknowledged in a manner consistent with the current practice in the relevant academic discipline.

3.3. Ownership

3.3.1. Ownership is not the same as authorship. Ownership of intellectual property entails:

- exclusive rights to use the property, including the right to publish, copy or adapt the material;
 - the right to sell, transfer, donate, grant licenses or permissions to use intellectual property, or to use intellectual property as security for loans;
 - entitlement to registration, where applicable;
 - standing to seek protection of exclusive intellectual property rights before a court of law;
 - the exclusive right to control and direct development and commercialisation of the intellectual property;
 - liabilities of any kind associated with the ownership of the property.
- 3.3.2. The College, in line with the [Copyright Amendment \(Moral Rights\) Act, 2000](#), protects the right of a researcher to be identified with his or her works and the right to object to alteration or other derogatory treatment of the work that would be prejudicial to the author’s honour or reputation.
- 3.3.3. As a general rule, where work is produced by a staff researcher under the auspices of Tabor, then Tabor is the copyright owner. However, with the exception of teaching materials and computer software, the College does not normally claim copyright ownership of the intellectual property contained in most research products created by staff in the course of their employment.
- 3.3.4. Where work is produced by a student researcher under the auspices of Tabor, the College acknowledges that the ownership vests in the originator on creation. The College therefore makes no claim to ownership of research developed by a student except where the student has undertaken the research as a staff member of the College.
- 3.3.5. For further definitions, regulations and guidelines, see Tabor’s Intellectual Property Policy.

3.4. Ethical Conduct of Research

- 3.4.1. Tabor and its researchers have a responsibility to ensure the safety and wellbeing of all those associated with research.
- 3.4.2. Human research must be conducted in such a way that any risks of harm are minimised. Participants should be fully informed of potential risks and benefits so that they are able to make their own decisions about their involvement in the research, and their privacy must be protected (unless otherwise agreed).
- 3.4.3. Human research with minors requires the consent of the participants and the approval of their legal guardians, except where awareness by the guardians compromises the minor’s safety or well-being.
- 3.4.4. Human research must be undertaken in ways that respect the rights, dignity, welfare, beliefs, perceptions, customs, and the cultural and religious heritage of individuals and communities.
- 3.4.5. All research involving the use of humans as research subjects must be referred to Tabor’s Internal Ethics Committee for review. Research involving human participants includes:
- conducting surveys, interviews or focus groups;
 - running psychological, physiological, or medical testing or treatment;
 - observation of participants by researchers;
 - accessing personal information through databases, medical records, documents or other materials.
- 3.4.6. Tabor’s Internal Ethics Committee is responsible for assessing the risk of research proposals as either “low risk” or “high risk”. If the proposal is classified as “low risk”, Tabor’s Internal Ethics Committee will then review the proposal. The proposed low risk research can only commence once it has been approved by the Committee. If the proposal is classified as “high risk”, then approval must be sought from the External Ethics Committee.

- 3.4.7. Once the Internal Ethics Committee has reviewed and quality assured the research proposal, this will be submitted to the College's External Ethics Committee. This proposal must be approved by the External Ethics Committee before the project may commence.
- 3.4.8. Where projects have been approved by the External Ethics Committee, researchers must inform that committee of any major change to their research which may impact on the project's ethical approval.
- 3.4.9. In projects involving human participants, it is the responsibility of the researcher to ensure that consent is fully informed and freely given by the participants. This may be indicated, for example, through the use of a signed and dated consent form (or electronic equivalent) 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.
- 3.4.10. Researchers must maintain confidentiality and privacy of any personal information to which they have been given access in accordance with the guidelines laid down by the External Ethics Committee. Confidentiality agreements to protect the intellectual property rights must be agreed between the researcher(s), Tabor, the External Ethics Committee, partner organisations and sponsors of the research. Any limitations and restrictions regarding the dissemination of the research must be explicitly agreed.
- 3.4.11. To safeguard confidentiality, consent forms must be stored either hardcopy or electronically in a secure location separately from the research data from that project and kept for a minimum period of five years.
- 3.4.12. Any complaints by participants in research with regard to the ethics of research should be addressed to the Scholarship Committee (SC) who may involve the External Ethics Committee if required. The SC will consider the complaints and inform the complainants and the researchers as to the result. Complainants will need to lodge a complaint using Tabor's Complaint/Grievance Report Form located on the College's website or by contacting the Chair of the Scholarship Committee.
- 3.4.13. Ethical misconduct should be reported by staff or students to the External Ethics Committee which, upon investigation, may withdraw its approval for a project. Illegal activities in the context of research must also be reported to the police.
- 3.4.14. Ethics approval is not required for:
- 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 no risk to participants and the findings will not be published or presented externally;
 - 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. Management of Intellectual Property

- 3.5.1. This policy reinforces the principles detailed in Tabor's Intellectual Property Policy and should be read in conjunction with that document. Individual researchers are responsible for being familiar with and applying that policy.
- 3.5.2. Research records and data, including questionnaires, consent forms, surveys, interviews or observations of human participants, must be retained and stored in an appropriate, durable and secure form. This includes, but is not limited to paper, electronic or photographic records. Research records and data should be able to be quickly and easily identified and retrieved when required.

- 3.5.3. All original data must be securely stored on Tabor premises or on the researcher's personal, password-protected computer. Researchers who leave Tabor within a period of five years of the collection of the data should ensure that Tabor retains either a hard or electronic copy of the data. Hardcopy data should 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 Internal Ethics Committee.
- 3.5.4. Research data related to publications should be made available for discussion with other researchers (unless confidentiality provisions apply).
- 3.5.5. The minimum data retention period is five years from the date of any publication or five years following the completion of the research if publication is not intended or the minimum period specified by the sponsor or funding agency.
- 3.5.6. The destruction of research data for any project with the 5 year window must be approved by the Scholarship Committee on the recommendation of the researcher(s).
- 3.5.7. Research data and materials produced by staff during employment at Tabor remain the property of the College unless subject to a third-party agreement. Research data and materials produced by students during their study at Tabor remain the property of the student unless subject to a third-party agreement.
- 3.5.8. In the event of legal action, research data and records may be accessed by the Scholarship Committee, and where appropriate the President, in order to determine their relevance in any potential litigation.
- 3.5.9. Research data and records are subject to subpoena.
- 3.5.10. An Automatic IP Embargo is to be applied to special case studies that either build upon pre-existing institutional IP or are carried out for, or in conjunction with, an external partner such as an industry partner, company, or cooperative research centre. Students are to sign a Deed Poll if their project is classified to have an Automatic IP Embargo.
- 3.5.11. Embargoes are necessary for the following reasons:
 - protect IP contained in research projects
 - confidentiality (involving human identities)
 - privacy (commercially, culturally, politically, or criminally sensitive data)
 - security restrictions
 - pending patent applications
 - sponsor or faculty restrictions
 - other legal restrictions.
- 3.5.12. Embargoes are to be two years in duration but can be waived via an application before the automatic lifting of the embargo at the end of this period.

3.6. Publication

- 3.6.1. Publication is any publicly available output identified as the work of a researcher or a group of researchers. Subject to confidentiality restrictions, the College expects researchers to communicate a full account of research findings as widely as possible, including to peers, professional organisations, stakeholders, research participants and the wider community.
- 3.6.2. In all aspects of the dissemination of research findings, the relevant rights to confidentiality, privacy and ownership of intellectual property of all parties must be respected.

- 3.6.3. Researchers must ensure that published materials and research results and information made available to the public are complete and accurate.
- 3.6.4. Researchers must not deliberately include inaccurate or misleading information relating to research activity in their curriculum vitae, grant applications or job applications. These must be corrected immediately if the researcher becomes aware of unintentionally misleading or inaccurate statements.
- 3.6.5. Researchers must not publish the same research findings in more than one outlet, except in particular circumstances such as review articles, anthologies, collections, translations, or when prior approval has been obtained from the relevant parties (e.g. journal editors or co-authors).
- 3.6.6. Researchers should be guided by the following points in relation to communicating research findings in public media contexts, such as social media sites, radio and television interviews, invited comment or live debate:
- where any restrictions or communications have been formally agreed with a third party, these must be honoured;
 - to minimise misunderstandings, those directly impacted by the research, including interested parties to the research or those who participated in the research process, should be informed of the research findings before they are made public;
 - care should be taken to explain the status of the project, e.g., whether it is still in progress, is a preliminary conference report, has been peer-reviewed, or has been finalised;
 - in the case of issues which may affect the reputation of the College, the staff member should discuss the communication opportunity with the President prior to accepting the invitation

3.7. Research Partnerships

- 3.7.1. Tabor encourages and supports collaborative research with facilities and researchers within the College, nationally and internationally.
- 3.7.2. Where a joint external research project exists, a Collaborative Research Agreement should be clearly articulated in writing between the College and partner researchers/organisations. Collaborative Research Agreements must address issues to do with authorship, ownership of intellectual property, potential commercial gain, confidentiality, responsibility for ethics, reporting to appropriate authorities and location of research data and materials.
- 3.7.3. Researchers involved in collaborative research projects must disclose and manage any actual or apparent conflicts of interest relating to any aspect of the collaborative research project.
- 3.7.4. Changes to Collaborative Research Agreements must be agreed upon by all parties involved in the research project.

3.8. Misconduct in Research

- 3.8.1. This policy reinforces the principles detailed in Tabor's Student Integrity Policy and should be read in conjunction with that document. Student researchers are responsible for being familiar with and applying the Student Integrity Policy. Misconduct in student research will be handled according to the procedures outlined in this policy.
- 3.8.2. This policy also reinforces the principles detailed in Tabor's Code of Conduct Policy and should be read in conjunction with that document. Staff researchers are responsible for being familiar with and applying the Code of Conduct Policy.

3.8.3. For guidance concerning research integrity, Tabor follows the [2018 Australian Code for the Responsible Conduct of Research](#).

3.8.4. Research misconduct includes (but is not limited to) any of the following:

- fabrication, falsification, plagiarism, or deception in proposing, carrying out, reporting or interpreting the results of research;
- failure to declare or manage a serious conflict of interest;
- conducting research requiring ethics approval without such approval, and avoidable failure to follow research proposals as approved by a research ethics or biosafety committee, particularly where this failure may result in unreasonable risk or harm to humans, animals or the environment;
- misleading ascription of authorship;
- falsification or misrepresentation to obtain research funding;
- deviations from the Code through gross or persistent negligence;
- the wilful concealment or facilitation of research misconduct by others.

3.8.5. An allegation relates to research misconduct if it involves either (1) intent and deliberation, or (2) recklessness or gross and persistent negligence, or (3) serious consequences, such as false information on the public record, or adverse effects on research participants, or the environment.

3.8.6. Research misconduct does not include honest differences in judgement in the management of a research project, and honest errors that are minor or unintentional.

3.8.7. Misconduct in staff research will be handled according to the procedures outlined in the Staff Misconduct Management Policy.

3.9. Supervision

3.9.1. Supervision of a student undertaking a research project should be assigned to an appropriately qualified faculty member. An associate supervisor may be appointed.

3.9.2. The ratio of research students/trainees to supervisor should be small enough to ensure effective supervision of the research.

3.9.3. Research supervisors should provide students with written copies of relevant governmental and Tabor policies for the responsible conduct of research, including those covering ethical requirements.

3.9.4. Supervisors must ensure the appropriateness of the research methods and validity of research data obtained by students under their supervision and, where possible, ensure that the work submitted by research students is their own.

3.9.5. Supervisors must ensure that research students are appropriately acknowledged for their work and that any intellectual property embodied in the research is appropriately protected.

3.10. Research Output Records

3.10.1. Tabor expects, encourages and supports its academic staff to pursue academic research and the dissemination of that research. The types of activities that constitute research are outlined in Appendix A, 2.3.3. and 2.3.4.

3.10.2. Any digital or hardcopy research conducted under the auspices of Tabor and published or disseminated should be recorded as a research output in order to maintain a reliable “institutional memory” that documents Tabor’s contributions to the wider academic and public community. The

College is also required to keep this record as evidence of the professional development and scholarship of its academic staff.

- 3.10.3. It is part of the Faculty Meetings Terms of Reference, chaired by the Dean of each faculty, to ensure that records are created, captured and effectively managed so that research activities of the College's academic staff are adequately represented within the College's institutional memory. The Executive Director of Digital Learning and Innovations will provide a "Research and Scholarship Register" to record and manage these data.
- 3.10.4. Staff researchers are to notify their respective faculties in the faculty meetings when they have completed research in one of the categories mentioned in Appendix A, 2.3.3 and 2.3.4.
- 3.10.5. These notifications are to be minuted and administrative responsibility is to be assigned for the recording of this information on Tabor's document management system ("Research and Scholarship Register").
- 3.10.6. Research output records must not be altered or destroyed without the authorisation from the Dean of the respective faculty in agreement with the President.

3.11. Research Education

- 3.11.1. Students are to be made aware of their rights and responsibilities as outlined in this policy and in Tabor's Postgraduate Coursework and Research Handbook. Students are responsible for being familiar with and applying these rights and responsibilities.
- 3.11.2. Students who are undertaking a Master's research project are to be inducted into and oriented to the requirements of their project through a dedicated research methods subject to be completed as a pre-requisite before any research is undertaken. On completion of this subject, students should have:
 - an understanding of their research topic and how it relates to the wider field;
 - the capacity to design and conduct research independently;
 - technical skills to apply research methods;
 - skills in analysis, critical evaluation, interpretation and reporting of research, and in presentation, publication and dissemination of their research
- 3.11.3. Research project students will be enrolled in a research focused Tabor Online site designed to introduce researchers to the basics of research, codes of conduct, intellectual property matters, and other related areas concerning the research journey.

3.12. Progress and Assessment

- 3.12.1. The progress of research project students is to be monitored by their Head of Program. This monitoring is to be completed in two ways. First, by enrolling research students in the next part of their project subject where appropriate at the end of each semester. Second, by completing the Annual Progress Report in conversation with the researcher and the supervisors.
- 3.12.2. Every student who is enrolled in a research subject for longer than 12 months is required to fill out an Annual Progress Report and submit it to the Head of Program.
- 3.12.3. Assessors are to be appointed in line with the Guidelines for the Appointment of Assessors (Appendix E in the Staff Recruitment, Selection and Appointment Policy) which protects the independence of the assessors.
- 3.12.4. The assessment of research produced by a student will be carried out in line with the Assessment Policy. Assessors are to be provided a copy of the Guidelines for Assessors, which can be found in Appendix F of the Assessment Policy.

4. Procedures

4.1. Research Partnerships

- 4.1.1. Collaborative Research Agreements must be completed and retained by each of the parties involved in the research project.
- 4.1.2. Changes to Collaborative Research Agreements are to be recorded in written form and signed by all parties involved in the research project.

5. Definitions

Research 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; empirical investigation that results in new knowledge; and the 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. Such research includes, but is not limited to: research projects, conference presentations, production of books, book chapters, original artworks and compilations, and reportable and non-reportable journal articles.

A **researcher** is anyone who undertakes research as outlined above.

An **Automatic IP Embargo** is a type of embargo that is automatically applied if certain conditions are met. An embargo is a period of restricted access during which the research under embargo is not publicly available. In the context of Tabor, restricted access means that the research will only be available via an application to the library.

See [Global Definitions](#).

6. Communication and Training

- 6.1. Deans of Faculties and Heads of Departments will ensure researchers are apprised of this policy and refer them to the Tabor website where this policy will be placed.