

Date of approval	23 August 2023	Approved by	Academic Board
Date of effect	23 August 2023	Review date	31 August 2026
Relates to	Research Policy	Version	v1 2022
Responsible Owner	Executive Dean, Faculty Tertiary Education and Research		
Functional Manager	Director Research		
Endorsed by	Research Committee		

1. Outline

- 1.1 Batchelor Institute of Indigenous Tertiary Education (Batchelor Institute) is committed to research and research training activities that are underpinned by First Nations' ways of being, knowing and valuing the world. Acknowledging the unceded sovereignty of First Nations peoples, Batchelor Institute respects and fosters land-based knowledges and encourages the grounding of research within this context. It is committed to First Nations-led research activities which privilege First Nations', positioning, perspectives, priorities and aspirations.
- 1.2 The Research Ethics Procedure operationalises Councils Strategic and Research Plans and supports Batchelor Institute's Research Policy. It ensures any research conducted by individuals within or associated with Batchelor Institute is:
 - Conducted ethically,
 - Consistent with Principles set out in the Research Policy
 - Consistent with the priorities of Councils Strategic and Research Plans
 - Complies with requirements detailed in this Procedure

2. Summary

- 2.1 This procedure covers:
 - Research conduct
 - Principles of responsible research
 - Preparing and planning for research
 - Ethical processes and conduct
 - Management of research data and materials
 - Research supervision
 - Publication and dissemination of findings

- Authorship
- Conflicts of Interest
- Collaborative research across institutions
- Research Data Collection
- Research Misconduct
- Breaches of the Code

3. Research conduct

3.1 Batchelor Institute will promote high quality First Nations research and will be governed by ethical principles and guidelines as set out in this document and:

- **The United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP)**
- World Intellectual Property Organization (WIPO) 2006. The Protection of Traditional Cultural Expressions/Expressions of Folklore: Revised objectives and principles (the 'WIPO objectives and principles')
- [Code of Ethics for Aboriginal and Torres Strait Islander Research 2020](#). The Australian Institute of Aboriginal and Torres Strait Islander Studies (AIATSIS)
- The [NHMRC Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders, 2018 \(NHMRC Guidelines\)](#)
- The [Australian Code for the Responsible Conduct of Research \(The Code\)](#)
- Uluru Statement of the Heart (2017)
- Batchelor Institute Research Policy
- Batchelor Institute Strategic and Research Plans

3.1 Researchers must refer to these and other relevant documentation when developing research project proposals, ethics applications, undertaking data collection and analysis and disseminating research.

4. Principles of responsible research

- 4.1 Batchelor Institute has a responsibility to ensure that research conducted under or in association with the Institute aligns with the Research Policy principles of unceded sovereignty; strength in culture; First-Nations led; decolonising agenda; and accountability.
- 4.2 Batchelor Institute has a responsibility to ensure that research conducted under or in association with the Institute acknowledges and respects Articles 1-40 of the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) and the principles and objectives of WIPO (2006)
- 4.3 Batchelor Institute has a responsibility to ensure that research conducted under or in association with the Institute is informed by the AIATSIS Code of Ethics (2020) principles of self-determination; Indigenous leadership; impact and value; sustainability and accountability. As well as the NHMRC Guidelines associated with

Spirit and Integrity; Cultural continuity; Equity; Reciprocity; Respect and Responsibility.

- 4.4 Batchelor Institute has a responsibility to establish good governance and management practices, as detailed in the Australian Code for the Responsible Conduct of Research (page 3). This includes the hallmarks of honesty, rigour, transparency, fairness, respect, recognition, accountability and promotion.
- 4.5 All researchers employed by or associated with Batchelor Institute must acknowledge unceded sovereignty and show respect for Indigenous rights and intellectual property. Researchers must be able to demonstrate how the core principles and values identified within the Research Policy; AIATSIS code of ethics and NHMRC guidelines underpin their research.
- 4.6 Researchers will uphold the principles of responsible research conduct in all aspects of their research as outlined in the Australian Code for the Responsible Conduct of Research (page 4).

5. Preparing and planning for research

- 5.1 Researchers who are planning to conduct research with humans or animals will prepare a research or evaluation plan/proposal (the Proposal) which will include:
 - Research/evaluation questions
 - Justification of the research from a position that privileges First Nations positioning, perspectives, priorities and aspirations
 - Literature review which includes relevant engagement with Indigenous scholarship
 - Ethical considerations and Risk analysis that foregrounds First Nations unceded sovereignty, rights, responsibilities and accountabilities.
 - Budget
 - Timeline
 - Milestones and deliverables.
- 5.2 Researchers (except HDR students) will prepare a funding agreement/Memorandum of Understanding ('Contract'), consistent with the Proposal, which will be approved by the Head of Research and Post Graduate Studies or the Dean of Education and Research and the equivalent representative of the funding body, prior to ethical clearance application.
- 5.3 Researchers (except HDR students) will complete a cost centre form for approval by the Finance Office prior to ethical clearance application.
- 5.4 Researchers who are HDR students will prepare for research according to the HDR Program rules and guidelines.
- 5.5 Researchers must submit the Proposal, and signed Contract to the Dean of Education and Research

6. Ethical processes and conduct

- 6.1 All research involves degrees of risk for researchers, research collaborators,

participants and/or governing Institutions. As such, all research proposals must be submitted to at least one research ethics committee for review and approval before the commencement of a project.

- 6.2 It is acknowledged that current codes and guidelines for ethical research conduct (see section 3) prioritise the protection of First Nations peoples from exploitation and harm. This is essential and important. It is also acknowledged that these codes and guides primarily position First Nations peoples as the subjects/participants/collaborators of research rather than as the lead and principal researchers, associate researchers or project administrators managing research processes.
- 6.3 For example, The National Statement on Ethical Conduct in Human Research (2018) categorises First Nations Peoples as vulnerable and identifies that all research involving Aboriginal and Torres Strait Islander Peoples requires review by a registered Human Research Ethics Committee (HREC). This HREC process must include assessment by or advice from:
- people who have networks with Aboriginal and Torres Strait Islander Peoples and/or knowledge of research with Aboriginal and Torres Strait Islander Peoples; and
 - people familiar with the culture and practices of the Aboriginal and Torres Strait Islander people with whom participation in the research will be discussed.
- 6.4 This importantly acknowledges that a majority of researchers engaged in First Nations research are non-Indigenous and may not have these networks nor be familiar with the culture and practices of relevant Aboriginal and Torres Strait Islander peoples. As such they are required to demonstrate to a HREC how they will work respectfully and with accountability with this vulnerable population.
- 6.5 At the Institute it is likely that the lead /principal and/or associate researchers are First Nations peoples with established networks and an embodied familiarity with their own cultures and practices. This of course does not in itself negate or minimise risks, indeed there are issues that could elevate the risks to both researcher and participant. However, it is acknowledged by the Institute that current HREC forms and processes are not principally created to capture ethical considerations and risk management from this position.
- 6.6 In response Batchelor Institute has established a non-HREC level of ethical review facilitated through the Research Ethics Advisory Committee. This Committee provides additional support and guidance to First Nations researchers and First Nations HDR candidates for the purposes of ensuring ethical research conduct and were appropriate the successful navigation of HREC processes and approvals.
- 6.7 All HDR candidates are required to submit research proposals to the Research Ethics Advisory Committee for review as part of their candidature.
- 6.8 The Research Ethics Advisory Committee has the authority to classify research involving First Nations peoples as researchers and/or participants as “low risk” if the only foreseeable risks are associated with discomfort.
- 6.9 The National Statement defines discomfort as less serious than harm. Low-risk research may include studies: which do not involve an intervention that could result in harm to participants; which do not involve subjects who are vulnerable; Social science questionnaires on non-controversial, non-personal issues and is unidentified; observational studies in public situation which focus on non-sensitive areas; studies

of existing de-identified data, documents, records, pathological or diagnostic specimens; studies where the focus is on the researchers own self and body experiences.

- 6.10 The Research Ethics Advisory Committee has the authority to approve low risk research projects. Projects approved by the committee can commence.
- 6.11 The Research Ethics Advisory Committee must refer to a (NHMRC registered) HREC any research they identify as involving more than low risk.
- 6.12 Applications for ethical clearance must be obtained for all projects classified as more than 'low risk' from an [NHMRC Registered Human Research Ethics Committee](#) (HREC) prior to the research commencing. It is highly recommended that the HREC chosen has relevant First Nations membership and experience in reviewing First Nations research.
- 6.13 Additional consent/approvals may be required by organisations involved with the research (e.g. relevant community controlled and locally based groups/organisations and government and non-government stakeholder bodies). Researchers are responsible for ensuring all approvals are obtained prior to commencing research.
- 6.14 The Research Ethics Advisory Committee must be made aware of all research proposals submitted for HREC review, notices of conditional and final approval together with approvals for variation.

7. Management of research data and materials

- 7.1 Both Batchelor Institute and individual researchers must:
 - Retain research data and primary materials in accordance with ethical clearance conditions.
 - Provide secure research data storage and record keeping facilities (physical and/or online) in accordance with ethical clearance conditions.
 - Identify ownership of research data and primary materials consistent with Australian copyright and privacy laws (see section 5.1.1 and 5.2.3 of IK Protection and Management), and consistent with WIPO Objectives and Principles and the WIPO Practical Guide to IP.
 - Work collaboratively with research participants to determine longer term use and ownership of data.
 - Negotiate research data management agreements with partners involved with research not led by the Institute.

8. Research Supervision

- 8.1 Research Supervisors will be appropriately qualified (with at least a PhD qualification) and comply with the requirements of Institute Supervisor Training requirements
- 8.2 Batchelor Institute requires supervisors of those undertaking research to provide:
 - Adequate induction/training in research ethics, occupational health and safety requirements, environmental protection and other relevant technical skills.
 - Effective research training as soon as person begins his/her research career.
 - Mentoring and support for researchers as required.

- Access to available financial support for research expenses.
- Appropriate recognition and attribution of staff and candidate researchers in research publications.

8.3 Primary Supervisors will:

- Support HDR students in accordance with the Higher Degree by Research Program rules
- Work with other Supervisory Panel members in accordance with the Higher Degree by Research Program Rules
- Provide reports to the Graduate School Director as required by the Higher Degree by Research Program Rules
- Ensure HDR students follow research principles and ethical processes and practices applicable to the Institute.
- Ensure that their treatment of HDR students is ethical and fair at all times.

8.4 Researchers in training (including HDR students) are responsible for maintaining adequate contact with their supervisor to seek effective guidance as research progresses and to participate in all induction and training as required by the Institute.

9. Publication and dissemination of findings

9.1 A research project often culminates in publication or dissemination of the findings. This passes on the potential benefits of research to a wide range of individuals and organisations, including other researchers, consumers, industry, policy makers and the wider community. It also fulfils obligations to funding bodies. Dissemination includes reporting of research in academic journals or books, conference presentations, creative works, web pages, and professional and institutional repositories.

9.2 Batchelor Institute will:

- Support the dissemination of research findings in a manner that is reflective of the Institutes research principles and ethical procedures.
- Support the dissemination of research findings according to the Responsibilities of institutions set out in the [Australian Code for the Responsible Conduct of Research \(2018\)](#)
- Under the direction of the Research Office manage the collection and collation of all research publications and products within the Institutes Research Repository for the purposes of sector wide research reporting requirements and research access responsibilities.

9.2 Researchers will:

- Disseminate research findings in a manner that is reflective of the Institutes research principles and ethical procedures.
- Publish according to the Responsibilities of researchers set out in the [Australian Code for the Responsible Conduct of Research \(2018\)](#)
- Submit publication details and copy of publication to the Institutes Research Office.

9.3 Researchers are encouraged to:

- Register for and use an [ORCID ID](#)
- Publish outputs that are eligible under the ERA Guidelines (Sections 4.4.8 and 4.4.9) and particularly publications recognised by the [ERA 2018 Journal List](#).
- Promote their work on academic social media sites (such as Academia and Researchgate)
- Submit research highlights to Batchelor Institute's Marketing Team for promotion on the Institute's website and social media accounts.

10. Authorship

- 10.1 Consistent with the Australian Code of the Responsible Conduct of Research (2018) and the [NHMRC Authorship Guidelines](#), Batchelor Institute defines authors of research outputs as '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' (page 4). Researchers can make claims of authorship where this requirement is met.
- 10.2 Consistent with the Australian Code of the Responsible Conduct of Research (2018), authors of research outputs must also acknowledge those who have contributed to the work.
- 10.3 Researchers cannot claim authorship of a research output where:
- participation is solely in the acquisition of funding or the collection of data. General supervision/administration/project management of the research does not constitute authorship.
 - Only technical support or editing is provided
 - Data collection is the only contribution
 - Acquiring funding is the only contribution
 - Other requirements for authorship described by the NHMRC Authorship Guidelines (Section 2.1) are not met.

11. Conflicts of Interest

- 11.1 Consistent with the Australian Code of the Responsible Conduct of Research (2018), 'A conflict of interest exists in a situation where an independent observer might reasonably conclude that the professional actions of a person are or may be unduly influenced by other interests. This refers to a financial or non-financial interest which may be a perceived, potential or actual conflict of interest'. Researchers must 'disclose and manage actual, potential or perceived conflicts of interest' (R24, the Code).
- 11.2 To eliminate the potential of conflicts of interest arising Batchelor Institute requires that researchers fully disclose potential conflicts of interest as soon as it becomes apparent by informing the Chair of the 11. Research Committee.
- 11.3 The Research Committee Chair determines whether the conflict, or perceived conflict, is one that is justifiable.
- 11.4 Where a conflict, or perceived conflict, is determined by the Research Committee Chair to be the case, the researcher/research committee member will then be advised that s/he cannot be involved in relevant decision making processes and must

not be present when discussions about the perceived conflict of interest are taking place between the members of the Research Committee.

- 11.5 The Research Committee Secretariat will maintain a full record of the management of any conflicts of interest that arise.

12. Collaborative Research Across Institutions

- 12.1 As outlined in Batchelor Institute's Strategic Plan and Research Plan, researchers are encouraged to form research partnerships beyond the Institute.
- 12.2 Where ethics approval gained by the partner organisation does not cover the research activities of the Batchelor Institute researcher, that researcher must apply for ethics clearance.
- 12.3 Researchers must report all collaborative research activities to the Executive Dean of Higher Education and Research as well as to the Research Committee
- 12.4 A condition of any collaborative research work is that Batchelor Institute must have access to and be acknowledged in any published and unpublished outputs stemming from that collaborative research.

13. Research Data Collection

- 13.1 Batchelor Institute must report and participate in relevant sector wide research data collection activities and accountabilities. This includes the [Higher Education Research Data Collection](#) (HERDC) and the [Excellence in Research for Australia](#) (ERA) processes.
- 13.2 All researchers must be aware of the HERDC and ERA reporting accountabilities and requirements.

14. Research Misconduct

- 14.1 While it is acknowledged that many aspects of research such as interim reports, discussion with peers, presentation at conferences and the possibility that research will be repeated by other researchers all contribute to the intrinsically self-correcting nature of research, all researchers at Batchelor Institute are required to comply with the standards outlined in this document.
- 14.2 Research misconduct is defined as 'A serious breach of the Code which is also intentional or reckless or negligent' (page 5).

15. Breaches of the Code

- 15.1 Those working as a researcher while employed by Batchelor Institute, or enrolled in a higher degree by Research award, should be aware that a breach of confidentiality by a researcher will be regarded as misconduct.
- 15.2 Breaches are defined in the NHMRC Guide to Managing Breaches (Section 2.1) under headings of
- Not meeting required research standards

- Fabrication, falsification, misrepresentation
- Plagiarism
- Research data management
- Supervision
- Authorship
- Conflicts of interest
- Peer review

15.3 Batchelor Institute and its researchers will be guided by the advice provided in the NHMRC Guide to Managing Breaches:

- To determine the extent of a breach (Section 2)
- To ensure procedural fairness (Section 3)
- To determine institutional roles (Section 4)
- To consider and manage complaints (Section 5)
- To assess breaches (Section 6)
- To investigate breaches (Section 7)

15.4 Under Section 4.1 of the Guide to Managing Breaches, a Research Integrity Advisor (RIA) will provide advice to complainants and researchers on the Code. The Research Committee will identify a person or people with the skills and knowledge necessary for this function. The subcommittee of the Research Committee will act as a Research Integrity Office, according to the advice provided Under Section 4.2.

15.5 Complainants will be asked to formally notify the Research Office Manager of the concern they have. The Research Office Manager will direct the complainant to the RIA in the first instance. Following advice from the RIA, the complainant will be directed to the Designated Officer (DO) (Section 5).

15.6 In the event of an investigation (see Section 7) the DO will:

- prepare a clear statement of allegations
- develop the terms of reference for the investigation
- nominate the investigation Panel (Panel) and Chair when the Panel is more than one person
- seek legal advice on matters of process where appropriate.

16 Responsibilities

<i>Responsible Officer, Committee</i>	<i>Section</i>	<i>Task Description</i>
Executive Dean of Higher Education and Research Research Committee Researchers	3.1,4.1,4.2,4.3,4.4,4.5, 4.6	Reference and adherence to relevant research conduct and ethics principles, guidelines and codes

Responsible Officer, Committee	Section	Task Description
Executive Dean of Higher Education and Research Research Committee Research Ethics Advisory Committee Researchers	5.1, 5.2, 5.3, 5.4, 5.5, 6.1, 6.2, 6.3, 6.4, 6.5, 6.6, 6.7, 6.8	Research is not undertaken without an approved research proposal and appropriate ethics approvals
Researchers Primary Supervisors Research Committee Research Ethics Advisory Committee	7.1, 9.1, 9.2, 9.3, 10.1, 10.2, 10.3	Research Data, research materials and research outputs are stored, managed and disseminated safely and appropriately. Ownership and authorship of research is acknowledged and protected
Director of the Graduate School Primary Supervisors	8.1, 8.2, 8.3, 8.4	HDR students are adequately supervised
Executive Dean of Higher Education and Research Research Office	14.1, 14.2	Sector wide research reporting requirements are met
Executive Dean of Higher Education and Research Research Committee		Conflicts, Misconduct and Breaches

17. Supporting Documents

- Batchelor Institute Strategic Plan
- Batchelor Institute Research Policy

18 Modification history

Date	Version	Authority	Section Modified - Details
2014	V1	Head, Higher Education and Research	New procedure
2020	V2	Deputy CEO, Higher Education and Research	Updated procedure
August 2023	V1 2023		

19 Feedback

If you have any comments or feedback about this Procedure, please contact the Director Research.