

## 1. PURPOSE

To provide governance relating to research undertaken under the auspices of Holmesglen and to ensure research is conducted with the highest standards of ethics, integrity and responsibility.

## 2. SCOPE

Applies to:

- all Holmesglen employees and learners
- individuals collaborating with Holmesglen to conduct research
- individuals who use Holmesglen facilities or include employees or learners of Holmesglen in research activities.

This policy applies to the authorship of all research output, including non-traditional research outputs such as web-based publications and applications, professional blogs and any form of authored research which is made publicly available.

## 3. POLICY STATEMENT

Holmesglen promotes and fosters a research culture and ensures that research is conducted responsibly, ethically and with integrity and in accordance with the Australian Code for the Responsible Conduct of Research 2018 (the Code), the National Statement on Ethical Conduct in Human Research 2023 (the National Statement) and the AITSIS Code of Ethics for Aboriginal and Torres Strait Islander Research 2020 (the AITSIS Code).

## 4. PRINCIPLES

### Responsible research

- 4.1 Holmesglen is committed to establishing and maintaining a research culture that supports and encourages responsible research conduct. It upholds the eight key principles established in the Code:
- Honesty
  - Rigour
  - Transparency
  - Fairness
  - Respect
  - Recognition
  - Accountability
  - Promotion of responsible research practices.
- 4.2 Holmesglen is committed to providing effective governance oversight and compliance with relevant legislative and regulatory requirements.
- 4.3 Researchers must uphold the principles of responsible research conduct in all aspects of their research. In particular, researchers must demonstrate respect for research participants, the wider community and the environment.
- 4.4 Human research participants must be treated with care and respect, with appropriate consideration given to minority or vulnerable groups (as identified by the National Statement) and any adverse effects to the environment must be minimised.

4.5 Holmesglen recognises the right of Aboriginal and Torres Strait Islander peoples to be engaged in research that affects or is of particular significance to them, either in the capacity of researchers or as participants. Additionally, to be consulted prior to research being undertaken so that they can determine the extent to which they wish to be involved. When Aboriginal and Torres Strait Islander peoples have been engaged in research, the outcomes of that research must be reported to those involved. Researchers must recognise, value and respect the diversity, heritage, knowledge, cultural property and connection to land of Aboriginal and Torres Strait Islander peoples.

### **Responsible management and dissemination of research data**

4.6 The following principles apply to the ownership of research data and information:

- where research has been externally funded, then ownership will be determined by the terms of the relevant funding agreement.
- where research has not been externally funded, then Holmesglen owns the intellectual property of all research data and information created by staff in the course of their employment (except scholarly works), students within the course of their studies and otherwise by those researching within its auspices.
- Holmesglen is deemed to have been granted by the creator or creators of scholarly works a non-exclusive, royalty-free, worldwide license to use the scholarly works for educational, teaching and research purposes.

4.7 Holmesglen recognises the moral rights which are required to be attributed to the creators of intellectual property.

- where Holmesglen researchers have collaborated in research with researchers from one or more other institutions, then, subject to any agreement to the contrary, the general rule will apply which vests ownership of the intellectual property in the host institution.
- with respect to the ownership of data or information used in or generated during research with Aboriginal and Torres Strait islander peoples or communities, decisions should not be made in relation to access to or re-use of that data or information without first engaging in full consultation with the involved Aboriginal and Torres Strait Islander peoples or communities.

4.8 It is fundamental that dissemination of research is integral to the research process. The open publication and dissemination of research improves researchers' capacity to establish and expand on a body of research, to encourage collaborative practice, support innovation, enhance community engagement and permit the benefits of research to be realized.

4.9 The storage, retention and disposal of research data will be consistent with the relevant provisions of the existing Holmesglen procedures on storage, retention and disposal of data and with the requirements set out in the Code.

4.10 Whilst both this policy and the Code require that where possible and appropriate, access to research data and primary materials should be allowed to interested third parties, whether internal or external to Holmesglen, for the purpose of fostering research, it is a fundamental principle that researchers must determine the conditions under which release of that data and primary materials will be made. This includes obligations of confidentiality, conditions of re-use by unrelated parties, and participant rights. Researchers must consider the use of licensing for this purpose, such as the Creative Commons Attribution Licence.

### **Authorship and collaborative research**

4.11 Researchers must fairly and honestly attribute credit and transparency in authorship assignments or attribution, ensuring that they understand and appropriately apply the determination of authorship based on significant intellectual or scholarly contributions.

### **Conflicts of interest**

4.12 Fundamental to the integrity of research, is the requirement that researchers must disclose all conflicts of interest to their proposed or ongoing research. In addition, the same interests must be

disclosed to funding bodies, research participants, publishers and journal editors, collaborators and, where appropriate, the public.

### Supervision, support and review

4.13 Those who supervise the conduct of research are responsible for ensuring that those supervised have a clear understanding of the requirements and moral values set out in the Code, the National Statement, the AITSIS Code and applicable Holmesglen policies and procedures that relate to research.

4.14 Research Integrity Advisors (RIAs) are appointed by Holmesglen to promote the responsible conduct of research by providing advice on research practices and responsibilities, in addition to providing advice in relation to concerns or complaints about potential breaches of the Code.

### Breaches of the Code

4.15 Holmesglen has primary responsibility for the prevention, detection, investigation and resolution of complaints about potential breaches of the Code when conducted under the auspices of Holmesglen.

## 5. ACCOUNTABILITIES

Action	Accountability
Develop and maintain procedures that ensure that Holmesglen's research practices are consistent with the principles and practices set out in this policy, the Code, the National Statement and, where relevant, the AIATSIS Code. Oversee the implementation of this policy and the conduct of research in compliance with relevant laws, regulations, guidelines and policies related to research, including but not limited to those specifically referred to in this policy. Ensure that those who supervise research trainees have appropriate skills, qualifications and resources.	Executive Director Education and Applied Research
<ul style="list-style-type: none"> <li>▪ Provide on-going research training and education that promotes and supports responsible research.</li> <li>▪ Identify and train Research Integrity Advisors.</li> </ul>	Executive Director Education and Applied Research
Promote and foster responsible research conduct and provide advice on compliance with this policy, the Code, the National Statement and, where relevant, the AIATSIS Code.	Research Integrity Advisors
Support the responsible dissemination of research findings.	Dean/ Associate Director
Provide resources for the safe and secure storage and management of research data, records and primary materials.	Executive Director Corporate and Commercial Services
Manage the investigation into and resolution of reports of breaches of this policy and the Code.	Executive Director Education and Applied Research
Conduct all research under this policy, the Code, the National Statement and, where relevant, the AIATSIS Code.	Researchers
Provide critical internal oversight of Holmesglen's quality assurance arrangements for education, scholarship, and applied research and advise the Board through its Quality Committee on matters relating to the quality and strategic direction of education and applied research conducted at Holmesglen.	Council of Education and Applied Research
Oversee compliance with the <i>National Statement on Ethical Conduct in Human Research (2007, updated 2018)</i> , <i>Australian Code for the Responsible Conduct of Research (2018)</i> and other guidelines on research that may be published from time to time.	Human Research Ethics Review Panel (HRERP)

Action	Accountability
Determine the level of risk of proposed research involving the use of humans as participants that is 'low risk' or 'negligible risk'. Research deemed to be a higher level of risk, is referred to an external body appointed by Holmesglen for consideration.	Human Research Ethics Review Panel (HRERP)

## 6. DEFINITIONS

Term	Meaning
Auspiced	Research is considered auspiced by Holmesglen where: <ul style="list-style-type: none"> <li>the Institute is a party to a contractual agreement associated with the research</li> <li>the Institute receives funding to conduct the research through a grant or other funding source</li> <li>the work is to be acknowledged as Holmesglen's research or claimed by Holmesglen for certain purposes.</li> </ul>
Author	<ul style="list-style-type: none"> <li>An individual who has made significant technical support, technical advice, or technical assistance and/or intellectual or scholarly contribution to research and its output and who has agreed to be listed as an author.</li> </ul>
Breach	A failure to meet the principles and responsibilities of the Code and the AITSIS Code.
Conflict of interest	A conflict of interest exists in a situation where an independent observer might reasonably conclude that the professional actions or interests of a person are or may be perceived to be unduly influenced by other interests, including financial interests. There is no need to prove that the conflict is actual – it suffices if the conflict is perceived. Thus, a conflict may be perceived, potential or actual.
Data	Information in a raw form, including raw data, cleaned data, transformed data, summary data and meta data, as defined by the National Statement.
Information	Data which has been interpreted, analysed and contextualised.
Institution	May refer to Universities, Institutes of Higher Education, TAFEs, independent research facilities, hospitals, or any other organisations which conduct research.
Research	<p>Research includes all forms of applied research.</p> <p>The concept of research is broad and includes “the creation of new knowledge and/or the use of existing knowledge in a new and creative way to generate new concepts, methodologies, invention and understandings” (HES Framework 2021).</p> <p>This could include synthesis and analysis of previous research to the extent that it is new and creative.</p>
Research data and information	May include but is not limited to: what is said in focus groups, interviews, questionnaires/ surveys, images, records, digital information, physical specimens or artifacts, information generated by analysis of personal, social, organisational or clinical information, observations, results from experimental testing and information

Term	Meaning
	derived by human biospecimens, such as blood, bone, muscle and urine.
Researcher	Person (or persons) who conducts, or assists with the conduct of, research.
Research output	A research output communicates or makes available the findings of research that may be in hard copy, electronic, or other forms. Examples of research output includes journal articles, book chapters, conference papers, reports, datasets, patents and patent applications, performances, videos and exhibitions.
Scholarly works	Scholarly works are any article, book, creative project or like publication or any digital or electronic version of these works that contains material based on the creator's scholarship, learning or research. It does not include work that is teaching material.

## 7. CONTEXT AND/OR REFERENCED DOCUMENTS

### Internal

Academic Integrity Policy

Conduct Rule

Code of Conduct

Copyright and Intellectual Property Policy

Conduct and Discipline Policy (Learners)

### External

ARC Research Integrity Policy

AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research (2020)

Australian Code for the Responsible Conduct of Research (2018)

Australian Research Council Research Integrity Statement

Australian Research Council Research Integrity and Research Misconduct Policy (2015)

Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders (2018)

Gene Technology Act 2001 (Vic)

Gene Technology Act 2002 (Cth)

Guidelines to Promote the Wellbeing of Animals used for Scientific Purposes (2008)

A Guide to the Care and Use of Australian Native Mammals in Research and Teaching (2014)

Copyright Act 1968 (Cth)

National Statement on Ethical Conduct in Human Research 2023

Occupational Health and Safety Act 2004 (Vic)

Prevention of Cruelty to Animals Act 1986 (Vic)

Public Records Act 1973 (Vic)

Privacy Act 1988 (Cth)

**8. REVIEW**

8.1 This policy must be reviewed no later than three years from the date of approval.

8.2 The policy will remain in force until such time as it has been reviewed and re-approved or rescinded. The policy may be withdrawn or amended as part of continuous improvement prior to the scheduled review date.

**9. VERSION HISTORY**

Version Number	Date	Summary of changes
1	March 2024	New Policy.