
RESEARCH ETHICS POLICY

1 Purpose

This policy outlines ethical standards for research conducted by, in or under the auspices of ANZSOG in the delivery of core subjects of the Executive Master of Public Administration (EMPA) program.

2 Scope

This policy applies to the conduct of research involving human subjects and the dissemination of findings by students, academic advisors (acting as chief investigators), subject leaders and visiting scholars in relation to the EMPA program coursework, assessment and associated activities.

3 Guiding Principles

- 3.1 ANZSOG is committed to compliance with the National Statement on Ethical Conduct in Human Research and the Australian Code for the Responsible Conduct of Research, and legislative frameworks that apply to research that occurs within Australian jurisdictions.
- 3.2 In reference to EMPA work-based research projects being conducted in New Zealand, ANZSOG advises researchers to refer to equivalent human research ethics guidelines in New Zealand such as the National Ethical Standards for Health and Disability Research and Quality Improvement or similar standards for other research disciplinary fields.
- 3.3 Where EMPA students undertake research in relation to First Peoples' communities and research subjects ANZSOG encourages students to consider advisory guidelines such as Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for Researchers and Stakeholders (NHMRC 2018), Guidelines for Ethical Research in Australian Indigenous Studies (AIATSIS 2012) and Guidelines for Māori research ethics: A framework for researchers and ethics committee members (Health Research Council of New Zealand).
- 3.4 ANZSOG ensures that research proposals developed as part of the EMPA Work Based Project subject complies with all relevant policies and legislation regarding ethical research conduct within the relevant jurisdiction. The mechanisms for review of the research proposal as part of the Work Based Project is set out in the Subject Guide. This applies to Work Based Projects conducted in Australia and New Zealand.
- 3.5 ANZSOG ethical principles require that human research is:
 - i. justified by its potential benefits to knowledge and understanding, to improved social welfare and individual wellbeing
 - ii. conducted in ways where any risks of harm are minimised and participants are fully informed of the potential risks and benefits and exercise informed consent that is appropriately recorded
 - iii. conducted in ways in which participants make their own decisions about whether to provide informed consent to their involvement
 - iv. in the case of research conducted with at risk groups ANZSOG requires compliance with HREC guidelines and advice
 - v. conducted in ways which involve respect for the welfare, beliefs, perceptions, customs and cultural and religious heritage of individuals and communities, and people's right to privacy and confidentiality are respected
 - vi. assessed and approved by the adviser (acting as chief investigator), and further subject to assessment, and approval by the ANZSOG's Human Research Ethics Committee (HREC) as to the foreseeable level of physical, psychological, social, economic or legal harm or discomfort.

4 Policy Statement

4.1 The policy informs management of EMPA activities related to:

- i. ethical conduct of research and responsible research practice
- ii. successful management of research partnerships
- iii. resolution of allegations of misconduct in research.

4.2 Clear information on research standards is provided to students on the School's Learning Management System. The **Research and Ethics Procedure** ([link](#)) details the stages for research ethics approval and research conduct and reporting.

4.3 Determining whether research proposals and methodology constitute 'minimal risk' or 'high risk' related to human research is carefully verified through ANZSOG processes.

4.4 If there is any possibility of harm to participants, researchers, and/or the institution, either physical, psychological, social, economic or legal, or where there could be a devaluation of personal wealth through the research, research is not minimal risk.

4.5 Research is of 'minimal risk' where there is limited risk of harm or discomfort any more than inconvenience. Research involving the use of existing collections of data or records that contain only non-identifiable data about human beings is of minimal risk.

4.6 ANZSOG's Human Research Ethics Committee (HREC) is responsible for assessing and approving EMPA subject Work-Based Project research projects that includes research involving humans.

4.7 Applicants complete the required HREC forms and identify the level of risk inherent in their proposed research which includes consideration of other statements on the conduct of ethical research where they are applicable to the proposed project and/or jurisdiction. HREC reviews the application and assesses the risk profile.

4.8 Students should refer to the guidance material related to ANZSOG's HREC for all research involving humans. The HREC application form instructions outline the requirements for minimal and high-risk categories, for research involving humans.

4.9 Supervision of research including advising on the development of research proposals and the collection and reporting of project data will be the responsibility of core subject leaders and chief investigators. This will be conducted in line with instructions from the EMPA Academic Director and the HREC.

4.10 Allegations of misconduct regarding research ethics will be referred by the subject leader to the EMPA Academic Director for investigation and determination of penalties if the misconduct is verified. The process for managing research misconduct will be in line with the EMPA Academic Integrity Policy and Procedures. Incidents of misconduct will be reported to the HREC.

4.11 Compliance with the EMPA Information Management Policy and privacy legislation is required for research involving collection, use and disclosure of information. Research data should be secured by the researcher for at least five years. The information will then be securely archived in accordance with applicable laws and standards.

5 Definition of Terms

Term	Definition
Human Research	any research activity that is conducted with or about people or involves the use of their data or tissue.

Human Research Ethics Committee (HREC):	A committee appointed by the Dean, to whom it reports. ANZSOG's HREC has the authority to approve or reject proposals for research which involves human subjects and to ensure that the principles of the National Statement on Ethical Conduct in Human Research and other relevant legislation and regulations are complied with when research is undertaken by ANZSOG researchers and students.
National Health and Medical Research Council (NHMRC)	Australia's peak body for supporting health and medical research; for developing health advice for the Australian community, health professionals and governments; and for providing advice on ethical behaviour in health care and in the conduct of health and medical research.
National Statement	refers to the National Statement on Ethical Conduct in Human Research (2007, updated 2018). The National Statement clarifies the responsibilities of institutions, researchers and review bodies for the ethical design, review, conduct and dissemination of results of human research.
The Code	refers to the Australian Code for the Responsible Conduct of Research (2018). The Code provides guidance to institutions and researchers in responsible research practices.

6 Related Policies

- Academic Integrity
- Code of Conduct
- Information Management
- Privacy

7 Links to HREC

- HREC Application form instructions
- HREC Consent form (template)
- HREC Explanatory statement (template)

8 Version History

Version	Audience	Responsibility	Approved By	Approval Date	Last Reviewed
1	Current Students and Subject Leaders Chief Investigators	Deputy Dean Research	Associate Dean UR & CEO	2020	July 2020