

Research and Publication Policy

Preamble:

The Australian Institute of Business (AIB) Strategic Plan includes a commitment to high quality research and publications. In order to achieve this, Staff employed by AIB are expected to maintain research and publishing activity, supervise Students and promote the reputation of AIB as a research active institute. Students are encouraged to disseminate their research findings through seminars, conferences and publications.

Purpose:

To set out guidelines for publication for AIB Staff and Students, and any person who publishes using AIB's name or affiliation.

Scope:

This policy applies to AIB Staff and Students.

1. Definitions

- 1.1 'Action Research' means an activity designed to improve a situation and simultaneously develop understanding of the situation through conscious and systematic inquiry (research).
- 1.2 'Authorship Form' means the form required to be completed for any work submitted to be published, a copy of which can be obtained by staff via the AIB intranet.
- 1.3 'Case Research' means an approach to research that seeks to better understand a complex issue or context through systematic inquiry. The research may focus on a single case of that issue or context or a number of cases.
- 1.4 'Code' means the *Australian Code for the Responsible Conduct of Research*, a copy of which can be obtained at <https://www.nhmrc.gov.au/guidelines/Publications/r39>.
- 1.5 'Higher Degree' means the following:
 - 1.5.1 Doctor of Business Administration;
 - 1.5.2 Master of Management; or
 - 1.5.3 Doctor of Philosophy.
- 1.6 'Higher Degree Candidates' means any student formally enrolled in one of AIB's Higher Degree programmes.
- 1.7 'Intellectual Property Rights' means all current and future intellectual property rights (including goodwill), whether registered or unregistered, in any jurisdiction in Australia or the world, including without limitation copyright, trade marks, patents, rights in circuit layouts, designs, domain names and trade names, and any right to

have information kept confidential, and includes any application or right to apply for registration of any such rights and includes all rights of a similar nature to any such rights which may subsist anywhere in the world.

- 1.8 'Moral Rights' means the personal rights conferred by Part IX of the *Copyright Act 1968* (Cth) in relation to literary, dramatic, musical or artistic works and cinematograph films. These are rights for creators to be attributed as the creator of their work; take action if their work is falsely attributed as being someone else's work or is altered by someone else but attributed as if it were unaltered; and / or take action if their work is distorted or treated in a way that is prejudicial to their honour or reputation.
- 1.9 'publication' means the formal dissemination of research findings in a public forum whether in hardcopy, electronic, web-based or other tangible forms. It includes refereed and non-refereed books and journals, web-pages, conference presentations, creative works, technical papers, etc. It does not include a Student thesis unless published in accordance with paragraph 3.7.3. 'publish', 'published', 'publishing', and other like terms have a corresponding meaning.
- 1.10 'Reflective Practice' means to engage in a continuous cycle of self-observation and self-evaluation in order to understand our own actions, and the capacity to reflect on that action so as to engage in a process of continuous learning. .
- 1.11 'Research Degree' means a degree which is awarded primarily on the basis of a thesis embodying the results of a research project, and any coursework topics or other formal studies undertaken during the candidature which do not constitute more than one-third of the final assessment for the degree.
- 1.12 'Staff' includes employees, consultants, affiliates, adjuncts, joint appointments and contract staff of AIB who undertake work for AIB of an academic or research nature.
- 1.13 'Strategic Plan' means the formal Strategic Plan document produced tri-annually by AIB.
- 1.14 'Students' includes Bachelor of Business Administration and Master of Business Administration students, Higher Degree candidates, and all AIB graduates, to the extent their publication is still affiliated with AIB.
- 1.15 'Work Applied Learning (WAL)' means a systematic process that integrates individual learning, team learning and organisational learning to achieve organisational change and the creation of organisational knowledge.
- 1.16 'Work Based Learning' means a process of applying the critical thinking and analytical processes of AIB to a work environment. WBL involves work-based projects and develops the learner's capacity to operate more effectively within their work environment.

2. Areas of Research

- 2.1 AIB staff and students are encouraged to freely pursue research.
- 2.2 Any research undertaken will be subject only to the normal constraints of such investigation (e.g. ethical considerations, practicality and feasibility, financial, etc...).
- 2.3 AIB staff are cognizant of AIB's research priorities (see 2.5 below) and additional support will be given to those staff researching in AIB's priority areas.

- 2.4 Research output and research activity will be measured against existing common research benchmarks, such as Higher Education Research Data Collection – HERDC and Excellence in Research for Australia – ERA. In the HERDC process, for example, research is commonly measured in the following categories:
- 2.4.1 published books (A1), book chapters (B1), refereed journal articles (C1) and refereed conferences publications (E1)
 - 2.4.2 receipt of government grants and industry income:
 - Category 1: Australian competitive grants
 - Category 2: other public sector research income
 - Category 3: industry and other research income
 - Category 4: Cooperative Research Centre (CRC) research income
- 2.5 AIB’s research work is primarily focussed on Work Applied Learning, mainly using the methodologies of Action Research, Case Research, Reflective Practice and other related qualitative research methods which enhance improved managerial practice as AIB is a practical business school.

Various academic disciplines are covered by staff of AIB, but focus on the broad areas of business and management, including: entrepreneurship, strategy, operations, leadership, organisational change, marketing, finance, organisational learning and human resource management.

3. Outputs / Expectations

AIB Staff

- 3.1 All Staff engaged in research at AIB are expected to undertake research activity as appropriate to their appointment.
- 3.2 Full time research Staff are expected to:
- 3.2.1 be actively researching and publishing in their area of expertise, predominantly using the qualitative methodologies that are the focus of research at AIB, namely Action Research, Case Research and Reflective Practice;
 - 3.2.2 maintain a supervision load of up to 5 Students;
 - 3.2.3 publish a minimum of 2 international peer-reviewed papers per year on average; and
 - 3.2.4 attend and present at relevant conferences.
- 3.3 Part time and contract research Staff, and other Staff engaged in research at AIB (such as subject / discipline coordinators) are expected to:
- 3.3.1 be actively researching and publishing in their area of expertise, predominantly using the qualitative methodologies that are the focus of research at AIB, namely Action Research, Case Research and Reflective Practice;
 - 3.3.2 maintain an appropriate supervisory load;
 - 3.3.3 publish a minimum of 1 international peer-reviewed paper per year on average; and
 - 3.3.4 attend and present at relevant conferences.

- 3.4 Other activities that research Staff may engage in include, but are not limited to:
 - 3.4.1 contribution to editorial boards and reviewing for journals;
 - 3.4.2 membership of research and / or professional organisations.
- 3.5 AIB aims to engender collegiality among researchers and expects research activity to be discussed with colleagues and peers. The Research Manager is to be kept informed about projects being considered, research being undertaken and any plans for publication, as outlined in section 7.

Publications by Students

- 3.6 Higher Degree candidates must present their work at least once per candidature, either:
 - 3.6.1 at a conference;
 - 3.6.2 AIB seminar; or
 - 3.6.3 through presenting their findings to their employer's management team.
- 3.7 Publication by Higher Degree candidates is also encouraged. Candidates are requested to either:
 - 3.7.1 publish in their own right during their candidature;
 - 3.7.2 publish with their supervisor(s) near to, or soon after, the conclusion of their candidature; or
 - 3.7.3 allow AIB to manage the publication process by providing their thesis in a form that is easily converted to article format. AIB will provide a co-author to lead the conversion process and editorial services for the conversion (all articles produced in this way will be published with the Student as lead author).

4. Obligations Regarding Publications

Staff and Students must comply with the requirements of this clause 4 in respect of any publication.

- 4.1 Compliance with policies
 - 4.1.1 AIB subscribes to the principle that academic freedom is a right and responsibility. Freedom of Inquiry means that researchers are free to research and inquire into any aspect of the relevant body of knowledge and to publish their findings as their own, provided that they comply with the requirements of academic integrity and ethical publishing. Staff and Students are referred to AIB's *Academic Freedom and Free Intellectual Inquiry* policy, which they are required to comply with in respect of any publication.
 - 4.1.2 In addition, AIB Staff and Students must comply with the requirements of all other AIB policies in respect of any publication, including, but not limited to:
 - (a) *Academic Integrity;*
 - (b) *Commercialisation of Intellectual Property Created by Staff and Students;*
 - (c) *Confidentiality;*
 - (d) *Privacy and Personal Information Procedures;* and
 - (e) *Third Party Copyright.*

All policies are available from the AIB website:

<http://www.aib.edu.au/policies-and-procedures.html>

4.2 Without limiting paragraph 4.1 or any other obligation in this policy, Staff and Students must conduct their research and publish in an ethical manner that avoids:

4.2.1 Conflicts of Interest

- (a) A 'conflict of interest' will occur when Staff or a Student has a private or personal interest or other external commitment, which may appear to a reasonable person to be sufficient to conflict with the objective exercise of his or her academic or professional obligations or official duties.
- (b) All Staff and Students must declare any real or perceived conflict of interest relating to their research and / or publication, if and when it becomes apparent.
- (c) Any conflict of interest must be immediately reported to the Research Manager. The Research Manager will convene an internal committee, comprising the Research Manager, at least one person with legal training, and at least one other person with research/academic experience, to assess the level of interest in order to decide whether the degree of conflict of interest is sufficient to materially affect AIB and will:
 - (i) approve the Staff member or Student's ongoing involvement;
 - (ii) re-assign the task to another Staff member or Student in consultation with the original author; or
 - (iii) require the Staff member or Student to cease work on the research / publication.
- (d) Where Staff or a Student is perceived to have a material conflict of interest, the Research Manager shall seek information, including from the Staff member or Student, to determine whether there is an actual conflict of interest and take action to ensure that the conflict is removed;

4.2.2 Defamation

- (a) Staff and Students must conduct their research and publish in a manner that is not defamatory.
- (b) A publication will be considered defamatory if it is likely to cause ordinary reasonable members of society to:
 - (i) think less of the person the subject of the publication, in the sense that it disparages them, conveying something to his or her discredit;
 - (ii) shun or avoid the person; or
 - (iii) subjects the person to hatred, ridicule or contempt.
- (c) A publication's defamatory nature is to be determined by reference to general community moral or social standards, presumed to be uniform and common to society generally, and not by reference to sectional attitudes, for example ethical or religious standards.
- (d) Staff and Students must not breach *the Defamation Act 2005 (SA)*.

4.2.3 Plagiarism

- (a) Staff and Students must conduct their research and publish in a manner that does not plagiarise any other material.
- (b) Plagiarism is as defined in the *Academic Integrity* policy.

4.2.4 Breaches of confidentiality

- (a) AIB expects Staff and Students to conduct their research and publish in a manner that does not breach any of confidentiality or disclose the confidential information of any other person without prior written consent of that person.
- (b) Staff should be aware that under the general law and the terms of their employment they must not use or disclose any confidential information acquired in the course of their employment, except with the consent of AIB. Staff may also owe an obligation of confidentiality towards a third party in respect of information supplied to them in connection with research or administration: for example, personal information relating to a Student, or commercially sensitive information belonging to a firm or organisation. Staff are referred to AIB's Confidentiality Policy for full details of their obligations.
- (c) Students should be aware that they may also owe an obligation of confidentiality towards a third party in respect of information supplied to them in connection with their research; for example, commercially sensitive information belonging to a firm or organisation.

4.2.5 Infringement of Intellectual Property Rights

Staff and Students must conduct their research and publish in a manner that does not infringe the Intellectual Property Rights of any person.

4.2.6 Breaches of privacy

Staff and Students must conduct their research and publish in a manner that complies with the requirements of the *Privacy Act 1988* (Cth).

4.2.7 Damage to the reputation of AIB

- (a) In conducting research and publications, Staff and Students must not do anything that has the effect of, or that will likely have the effect of, adversely affecting AIB's reputation, and without limiting this obligation, Staff and Students must:
 - (i) respect the truth and the rights of those affected by their research;
 - (ii) manage conflicts of interest so that ambition and personal advantage do not compromise ethical or scholarly considerations;
 - (iii) adopt methods appropriate for achieving the aims of each research proposal;
 - (iv) follow proper practices for safety and security;
 - (v) cite awards, degrees conferred and research publications accurately, including the status of any Publication, such as under review or in press;
 - (vi) promote adoption of the Code and avoid departures from the Code;

- (vii) conform to the policies adopted by their institutions and bodies funding the research;
- (viii) maintain high standards of responsible research that meets the Code.
- (b) Where Staff and Students publish their findings they must not represent that their opinions are the opinions of AIB.
- (c) Staff must foster and maintain a research environment of intellectual honesty and integrity, and scholarly and scientific rigour.

5. Ethics Approval

All research undertaken by Staff and / or Students that involves human participants must have prior written approval from the AIB Ethics Committee, and such approval may be given at the discretion of the AIB Ethics Committee and may be subject to any conditions that the AIB Ethics Committee thinks fit.

6. AIB review

- 6.1 Staff and Students must provide a draft of their proposed research to the Research Manager prior to commencing new research projects.
- 6.2 Staff and Students must complete an Authorship Form in respect of that work, and any further information reasonably requested by AIB.
- 6.3 AIB may review work submitted for publication, including by conducting an internal or external review.

7. Risk Mitigation

- 7.1 AIB has a growing reputation for research and publishing in the areas of Work Applied Learning, using the methodologies of Action Research, Case Study and Reflective Practice.
- 7.2 Staff and Students are expected to contribute to upholding this reputation, and must not undertake any activities that are likely to be detrimental to that reputation, put the organisation or its reputation at risk. This includes, but is not limited to, the obligations set out in section 5 above.
- 7.3 If any situation, whether real or perceived, arises that is contrary to the obligations set out in section 5, it must be reported to the Research Manager by the Staff member or Student as soon as is reasonably practical.
- 7.4 When work created is to be published or otherwise disseminated outside AIB, relevant checks must be carried out including, without limitation:
 - 7.4.1 ensuring that relevant consents are obtained, and stored on file by AIB, if an individual, company or business name will be identified in the publication;
 - 7.4.2 obtaining and storing appropriate ethics clearances to conduct the research;
 - 7.4.3 consultation with the Research Manager or other relevant senior member of AIB prior to the work being submitted for publication or dissemination; and

7.4.4 completion of the AIB Authorship Form.

7.5 Notwithstanding the paragraph above, Staff are expected to keep their supervisor, and / or the Research Manager, informed about the research projects they are undertaking, and to discuss with them their publication and dissemination plans.

8. Intellectual Property Rights of AIB

8.1 AIB has certain rights under common law and statute to ownership of Intellectual Property Rights created by Staff in the course of their employment or engagement.

8.2 In practice AIB will exercise its rights of ownership only in cases where the Intellectual Property Rights may have significant commercial value or where the Intellectual Property Rights are fundamental to the core business of AIB. Such Intellectual Property Rights include, but is not limited to:

8.2.1 all teaching materials;

8.2.2 all administrative documents, such as policies, plans, strategies;

8.2.3 research that employs or draws upon AIB's Work Applied Learning or Work Based Learning processes.

8.3 AIB is prepared in some cases to concede ownership of copyright in works created in the course of employment or engagement (at its discretion), in return for a licence to use that work for teaching and research purposes. This mainly refers to research in the Staff member's own area of expertise.

8.4 AIB acknowledges the Moral Rights of Staff and Students where applicable.

8.5 Staff and Students are referred to the *Commercialisation of Intellectual Property Created by Staff and Students* and *Third Party Copyright* policies.

9. Authorship

9.1 To be named as an author of a publication, a researcher must have made a substantial scholarly contribution to the work in a combination of:

9.1.1 conception and design of the project;

9.1.2 analysis and interpretation of research data; and

9.1.3 drafting significant parts of the work or critically revising it so as to contribute to the interpretation.

9.2 All those who have otherwise contributed to the research output, such as research assistants, technical writers, and research degree Students have the right to be properly acknowledged.

9.3 In order that AIB achievements and investment in research receive appropriate acknowledgement and contribute to all relevant measures of performance, AIB must be attributed as the institution of affiliation by all Staff and Students, and by joint, conjoint and adjunct appointments where appropriate.

9.4 In addition to disclosing institutional affiliation and support, a publication must include information on any sources of financial and in-kind support for the research. This meets best practice guidelines, as outlined in the Code, and facilitates compliance with the Australian Research Council's *Open Access Policy* (available at

http://www.arc.gov.au/applicants/open_access.htm) and the National Health and Medical Research Council's *Revised Policy on Dissemination of Research Findings* (available at <https://www.nhmrc.gov.au/grants/policy/nhmrc-open-access-policy>).

10. Benchmarking

- 10.1 Policies of various Universities were consulted in the preparation of this policy.
- 10.2 Conflict of interest policies: University of Adelaide.
- 10.3 Intellectual Property policies: Flinders University, University of Sydney, Deakin University, Australian National University, Charles Sturt University and University of Adelaide.
- 10.4 Publication policies: University of Adelaide.
- 10.5 Authorship forms: Flinders University and Australian National University.

Related Forms:

Authorship Form.

Responsibility:

Research Manager

Related Policies:

Academic Freedom and Free Intellectual Inquiry

Academic Integrity

Commercialisation of Intellectual Property Created by Staff and Students

Confidentiality

Furtherance of Vision, Mission and Values

Privacy Policy and Related Procedures

Third Party Copyright

Current Status

Approved By:

Date of Approval:

Version 1

Academic Board

28 August 2015