



RESEARCH AND SCHOLARSHIP POLICY

Purpose

To establish AIB's commitment to ensuring, supporting and demonstrating scholarship and to promote and foster a Research culture and environment that supports the responsible conduct of high quality Research.

Scope

This policy applies to all AIB students and staff, including full-time and part-time, continuing and casual, onshore and offshore academic staff. The policy also applies to consultants, contractors and other persons involved in Research in collaboration with AIB staff or students, or engaged by AIB to undertake specific Research.

Definitions

Unless otherwise defined in this document, all capitalised terms are defined in the [glossary](#).

Research

Research and scholarship occurs within the context of the Organisation for Economic Co-operation and Development (OECD) definition of Research and experimental development set out in the Frascati Manual (2015) and defined as:

*'creative and systematic work undertaken in order to increase the stock of knowledge – including knowledge of humankind, culture and society – and to devise new applications of available knowledge.'*¹

Details

1. Scholarship Policy

- 1.1. AIB is committed to the principle of scholarship among its academic staff and students and will support scholarly activity for all AIB academic staff and for non-academic staff as appropriate.
- 1.2. AIB recognises the value of scholarship to effective learning, teaching and Research. AIB commits to developing, supporting and sustaining engagement with advanced knowledge and inquiry as enabled by scholarship, both at an institutional level and at the individual staff level.

¹ OECD (2015), *Frascati Manual 2015: Guidelines for Collecting and Reporting Data on Research and Experimental Development*, The Measurement of Scientific, Technological and Innovation Activities, OECD Publishing, Paris, <https://doi.org/10.1787/9789264239012-en>.

- 1.3. Staff members are encouraged to seek appropriate opportunities for scholarship internally and externally, and AIB will reasonably support staff members in such endeavours
- 1.4. AIB will allocate funds in its annual budget to support scholarship, particularly for academic staff. Academic Board, through the Research and Higher Degrees Committee (R&HDC) and the Academic Dean, will ensure scholarship funding is allocated in an equitable manner.
- 1.5. Commitment to scholarship is a joint responsibility shared by individual staff members, managers and the governing bodies of AIB. Academic staff are expected to take responsibility to be involved in scholarly activities.

2. Research Policy

- 2.1. AIB will promote and foster a Research culture and environment that supports the responsible conduct of high quality Research.
- 2.2. To ensure that Research at AIB is well-managed and meets legislative, professional and community standards of conduct and quality, AIB policies will reflect the definitions, principles and responsibilities of the Australian Code for the Responsible Conduct of Research, 2018 (the 2018 Code)². To this end:
 - (a) AIB adopts the framework for responsible Research conduct that provides a foundation for high-quality Research, credibility and community trust in the Research endeavour comprised in the 2018 Code.
 - (b) AIB adopts the following definitions from the 2018 Code:
 - **Research** – 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 so as to generate new concepts, methodologies, inventions and understandings. This could include synthesis and analysis of previous Research to the extent that it is new and creative.
 - **Research misconduct** – A serious breach of the Code which is also intentional or reckless or negligent.
 - **Researcher** – Person (or persons) who conducts, or assists with the conduct of, Research.
 - (c) AIB embraces the broad principles that characterise an honest, ethical and conscientious Research culture as set out in the 2018 Code, i.e. AIB adopts the ‘Principles of responsible Research conduct’.
 - (d) AIB will foster responsible Research conduct in accordance with the specific responsibilities for institutions (R1–R13 in the 2018 Code).
 - (e) AIB researchers will uphold the principles of responsible Research conduct in all aspects of their Research in accordance with the specific responsibilities for researchers (R14–R29 in the 2018 Code).

² The Australian Code for the Responsible Conduct of Research, 2018 (the 2018 Code) establishes a framework for responsible Research conduct that provides a foundation for high-quality Research, credibility and community trust in the Research endeavour. The 2018 Code is a principles-based document that articulates the broad principles and responsibilities that underpin the conduct of Australian Research. Developed jointly by the National Health and Medical Research Council, the Australian Research Council and Universities Australia, the 2018 Code has broad relevance across all Research disciplines.

- (f) Development, review and implementation of AIB processes will take into account supplementary guidance on specific topics to encourage responsible Research conduct as published in the Guides to the 2018 Code³.
- 2.3. AIB will comply with relevant legislation, policies and guidelines governing rigorous and ethical practice in Research. AIB will identify and comply with relevant laws, regulations, guidelines and policies related to the conduct of Research. Those responsible for the conduct of Research are expected to be aware of and comply with the applicable laws and codes.
- 2.4. AIB requires people engaged in Research under its auspices to maintain the highest standards of professional and responsible Research conduct and integrity.
- (a) Researchers will ensure their Research activities adhere to the principles contained in this policy and the principles of the 2018 Code.
- (b) People who conduct or oversee Research at AIB will be appropriately skilled, experienced and qualified, i.e. they will have a Research qualification or equivalent.
- (c) Researchers will comply with the 2018 Code and ensure persons under their supervision are aware of, and comply with, its obligations.
- 2.5. AIB is committed to high quality Research and publications. Accordingly, AIB Staff are expected to maintain Research and publishing activity as appropriate to their appointment, supervise students and promote the reputation of AIB as a Research Active institute. In addition, students are encouraged to disseminate their Research findings through seminars, conferences and publications.
- 2.6. AIB encourages its staff and students to freely pursue Research, subject only to the normal constraints of such investigation (e.g. legal and ethical considerations, practicality and feasibility, financial, etc.).
- (a) Research will be conducted ethically and responsibly by staff and students.
- (b) Staff will have qualifications, Research experience and skills relevant to the type of Research undertaken and their role.
- (c) All Research undertaken by staff 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.
- (d) All Research undertaken by staff or students that does not involve human participants can be expedited by Circulating Resolution of the AIB Ethics Committee.
- 2.7. AIB will support the Research activities of staff and students, with priority being given to business and management disciplines and any Research priority areas designated by AIB.
- 2.8. AIB encourages and supports collaboration between researchers, institutions, industry and across jurisdictions. AIB will have agreements in place with selected institutions to enable collaborative Research. Such collaborative Research agreements will include ownership of intellectual property, conflicts of interest, responsibility for ethical and

³ The 2018 Code will be supported by supplementary guidance on specific topics to encourage responsible Research conduct. The first guide is the Guide to Managing and Investigating Potential Breaches of the Code, 2018 (the Investigation Guide).

other clearances, data management, publication and commercialisation of Research outcomes.

2.9. AIB has no tolerance for Research misconduct or unethical behaviour in its Research activities. All allegations that the 2018 Code has been breached will be dealt with in accordance with the AIB Academic Integrity Policy.

(a) The procedures for addressing Research misconduct will be applied fairly and consistently, exhibit procedural fairness and will take into account the extent and type of Research misconduct, and any history a person has in breaching the Australian Code for the Responsible Conduct of Research.

(b) The occurrence and nature of Research misconduct and breaches of Research integrity will be recorded and monitored. Data on breaches of Research integrity will be used to inform improvements to Research practice and action will be taken to address any underlying causes of misconduct that are identified. The data and current best practice will inform the regular review of this Policy and any related procedures.

2.10. The responsible conduct of Research includes the proper management and retention of the Research data and primary materials.

(a) AIB will provide data management services and safe, secure data storage facilities.

(b) AIB will ensure Research data (including electronic data) are recorded in a durable and appropriately referenced form for ease of identification and retrieval.

(c) Confidential Research data and records will be maintained securely. Researchers are expected to ensure Research data and materials are managed and stored securely in accordance with relevant information privacy and records management legislation, AIB policies and procedures.

(d) The ownership of Research data and materials resulting from a Research project hosted by AIB resides with the Institute and not the researcher or funding body, unless subject to any written agreement between the researcher and AIB or AIB and a third party. Regardless of ownership, AIB as the institution hosting the Research remains the custodian of the Research data, the materials and the records.

(e) AIB will maintain a system for accurate and up-to-date recording of the Research outputs of staff.

2.11. Ownership and management of intellectual property created by staff and students at AIB is covered in the Intellectual Property and Confidentiality Policy and Intellectual Property Policy respectively.

2.12. AIB will record appropriately classified Research outputs and include peer-reviewed and non-peer reviewed outputs, such as publications, papers and reports.

2.13. AIB researchers are required to comply with the criteria for authorship outlined in the 2018 Code and associated Guide.

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

- conception and design of the project;
- analysis and interpretation of Research data; and

- drafting significant parts of the work or critically revising it so as to contribute to the interpretation.
- (b) All those who have otherwise contributed to the Research output, such as Research assistants, technical writers, and Research degree students should be properly acknowledged.
- (c) 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.
- (d) 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.
- (e) A person who qualifies as an author must not be included or excluded as an author without their express permission. This should be in writing and include a brief description of their contribution to the work.
- (f) For each publication, a senior or executive author who accepts overall responsibility for the publication must be identified.

3. Roles and Responsibilities

- 3.1. Each individual member of academic staff is responsible for maintaining their scholarly and Research activity, and maintaining and providing accurate records of such activity to the Associate Dean, Research and Research Higher Degrees (R&RHD).
- 3.2. The Associate Dean, Research and Research Higher Degrees is responsible for:
 - Monitoring Research and scholarly activity and maintaining records of such activity;
 - Reporting at least bi-annually to R&HDC and Academic Board on Research and scholarly activity. The report will report on the types of activities undertaken, the individuals engaged in scholarly activities and the funds contributed by AIB to support the scholarly activities;
 - Fostering discussion with peers on Research and scholarly activity;
 - Considering requests to use AIB internal data for Research and scholarly activity;
 - Co-ordinating agreements with external parties related to Research and scholarly activity.
- 3.3. The Academic Dean is responsible for:
 - Monitoring and reviewing Research and scholarly activity for the whole of the academic staff;
 - Oversight of performance management of academic staff including Research and scholarly activity;
 - Oversight of the allocation of internal funding for Research and scholarly activity.

PROCEDURES

4. Scholarship and Scholarly Activity

- 4.1. AIB encourages scholarship through the support of scholarly activity and Research. Scholarship can take a number of forms, which may include (but are not limited to):
 - (a) Engagement with professional practice (e.g. employment, membership of professional associations, participation in industry events);
 - (b) Participation in relevant training, workshops, seminars and conferences;
 - (c) Participation in an academic Community of Practice;

- (d) Involvement in curriculum development and in curriculum and subject review;
- (e) Development and review of learning materials and other teaching materials;
- (f) Interaction with other higher education providers (e.g. benchmarking, moderation, advisory committee);
- (g) Research (e.g. conducting Research, supervision);
- (h) Publication (e.g. peer-reviewed journals, professional and industry journals);
- (i) Study towards relevant higher qualifications;
- (j) Embedding scholarship within subject teaching;

- 4.2. All academic staff, including permanent, contract and casual staff, will be engaged in scholarly activities. Scholarly activity may be conducted individually, or in collaboration with other academic members of staff, and the level of scholarly activity may vary in intensity and quantity across academic staff levels and contractual arrangements.

Academic staff will be supported in a manner that reflects their individual appointment level, expertise and professional development needs. Casual lecturers will be supported proportionate to their contracted time at AIB. All casual staff will be engaged with embedding scholarship within their teaching.

- 4.3. Funding for scholarship and scholarly activities may be available for (but is not limited to):

- (a) Membership fees for relevant professional associations;
- (b) Workshops at AIB delivered by external experts (including travel, accommodation, fee);
- (c) Attendance by AIB academics at relevant external professional seminars or academic conferences (including funding towards travel, accommodation, registration fee);
- (d) Sponsoring (partially or in full) academics studying towards relevant higher qualifications.

- 4.4. Scholarship of continuing full-time staff is discussed at academic staff meetings to help academics identify opportunities for scholarship and to share outcomes of scholarly activity. Such regular discussion provides support and encouragement for scholarship, helps normalise scholarly activity and creates a scholarly collegiality among academic staff.

- 4.5. All academic staff discuss their individual scholarship plans at least twice a year with their relevant Associate Dean, including their requirements for and availability of financial support.

5. Research Activity Outputs and Expectations

- 5.1. All staff engaged in Research at AIB are expected to undertake Research activity as appropriate to their career stage and level of appointment.

- 5.2. Full time academic staff are expected to be Research Active. AIB encourages collegiality among researchers and expects Research activity to be discussed with colleagues and peers.

- 5.3. To be Research Active, staff must have a minimum of 3 output points over three years from the following criteria (Early Career Researchers (ECRs) – one point per year):

- a) Publication outputs meeting the requirements of ERA Guidelines:

- Authored Research Book (5 points);
 - Chapter in Research Book (1 point);
 - Refereed Q1 Journal Article, regardless of author position (2 points);
 - Refereed Journal Article, regardless of author position (1 point);
 - Refereed Conference Papers (1 point);
 - Refereed Conference abstract or poster (0.25 point);
 - Non-traditional Research output e.g. Research report for an external body, designs, or creative works (1 point);
 - Major exhibition/performance of creative works (3 points).
- b) Research income meeting the HERDC requirements:
- HERDC eligible Research income (1 point per \$10,000 to a maximum of 2 points)
- c) Research training points:
- Supervised to successful completion, as a co-supervisor, a HDR candidate (1.5 point);
 - Supervised to successful completion, as principal supervisor, a HDR candidate (3 points).
- d) Other Research output(s) as approved by the Associate Dean, R&RHD and the Academic Dean.
- 5.4. If there is uncertainty about the eligibility of Research outputs to fulfil the requirements of the definition of Research Active, the final decision will be made by the Academic Board, through the R&RHD.

6. Approval of Research Proposals and Publications

- 6.1. Staff and students intending to conduct Research using AIB internal data must provide a draft of their proposed Research to the Academic Dean prior to commencing new Research projects.

7. Ethical and Responsible Research Conduct

- 7.1. Ethics approval and safety clearances must be obtained by researchers prior to the commencement of a Research project in accordance with the 2018 Code, the National Statement on Ethical Conduct in Human Research, legislation pertaining to Work Health and Safety, and any other relevant legislation and AIB policy.
- 7.2. Where ethics approval is required the researcher will apply to the AIB Ethics Committee. Ethics 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.

8. Authorship of Research

- 8.1. Where there is more than one author of a Research output, collaborating authors will agree on authorship of a publication at an early stage and should review this agreement periodically.
- 8.2. Collaborating authors will designate a corresponding author to manage authorship and all communication about the Research output.

- (a) The corresponding author will:
 - ensure that authorship has been offered to all individuals, including staff and students, who meet the authorship criteria stipulated in the Scholarship and Research Policy;
 - manage and retain all correspondence between co-authors relating to authorship confirmation and the order of authorship;
 - confirm that all authors approve of the manuscript or other Research output that will be submitted;
 - manage communication about the Research output with the publisher/venue/facilitator.

- (b) If the corresponding author is based at another institution, co-authors affiliated with AIB will designate one AIB co-author as an AIB responsible author. The AIB responsible author will ensure, to the best of their ability, that the corresponding author fulfils the above responsibilities.

8.3. All authors of all Research outputs will confirm authorship and order of authorship by providing written acknowledgement of authorship to the corresponding or responsible author prior to submission of the Research output. The following information will be specified:

- (a) the signatories are the only qualified authors;
- (b) the order of authors' names in the authorship list on the Research output is agreed by all authors;
- (c) all authors agree that they have met the criteria for authorship attribution as detailed in the Scholarship and Research Policy;
- (d) all individuals being acknowledged by name have provided their written consent;
- (e) all authors have approved of the manuscript or Research output that will be submitted for publication; and
- (f) all authors agree that they are responsible for the content of the Research output.

8.4. AIB authors will retain a copy of all documentation used for acknowledging authorship for their own records. Upon acceptance of the relevant Research output, authors will store an electronic copy of the authorship documentation in the AIB Research Register along with the relevant Research output.

9. Research Partnership Agreements

9.1. Where AIB is involved in any collaborative Research project, collaborating researchers must consider and make arrangements to manage the following issues prior to the commencement of the Research project:

- (a) General considerations to give effect to the principles of Research integrity:
 - ethics approval and safety clearance;
 - authorship and publication;
 - management of Research data and primary materials;
 - conflicts of interest;
 - confidentiality;
 - financial management and commercial returns;
 - reporting to appropriate agencies; and
 - intellectual property and copyright; and

(b) Project specific considerations as relevant:

- project risk;
- project achievement criteria;
- invoicing and payment;
- assets and in-kind contributions;
- involvement of students and any impact on publications;
- consultancies; and
- any physical or infrastructure requirements.

9.2. The collaborative Research agreement must be in writing and acknowledge AIB's adherence to the Australian Code for the Responsible Conduct of Research.

9.3. The agreement will be submitted by the Associate Dean, Research and Research Higher Degrees to the Board of Directors via the Academic Board for approval.

9.4. Researchers must be aware of, and comply with, all policies and written agreements relating to the collaborative Research project.

10. Research-related Leave

Staff in receipt of an external Research grant may apply to the Academic Dean for a period of up to one week per year paid leave to undertake grant-related commitments. This is in addition to the annual leave and funds allowance for conference attendance.

10.1. Arrangements must be made to ensure no adverse financial impact on AIB or disruption to the learning experience of students.

10.2. There is no designated financial allowance available for this purpose, however staff may be awarded a Publication Bonus and/or apply for an Internal Research Grant (if available) which, if successful, may be used to support Research-related leave.

10.3. When more than one week is required, staff may apply for annual leave or leave without pay.

10.4. Where income is accrued through the grant, the money is to be paid into the staff member's AIB Conference Fund. This may be used to support the Research by funding teaching/marking replacement, grant-related travel including conference attendance, equipment etc. It may not be used for personal purposes.

11. Detection, Investigation and Management of Research Misconduct

11.1. Any person concerned about a Research conduct issue (hereafter referred to as the 'complainant') should first seek advice and guidance about whether the conduct of concern is likely to constitute a breach of the Australian Code for the Responsible Conduct of Research (the 2018 Code) and/or the AIB Research and Scholarship Policy, or Research Misconduct (refer to Glossary for definition).

Complainants may seek information, advice and guidance from a variety of sources, including the Guide to Managing and Investigating Potential Breaches of the Code

(Investigation Guide to the 2018 Code), the Associate Dean, R&RHD, the Academic Dean and academic peers.

- 11.2. Investigation and management of suspected Research misconduct by a staff member or student will be undertaken in accordance with the processes set out in the Academic Integrity Policy.

12. Monitoring and Reporting Scholarship and Research

- 12.1. The Associate Dean, R&RHD will monitor the scholarly activity and Research of all permanent and casual academic staff to ensure an appropriate level of scholarship throughout the school and to enable accurate and up-to-date recording of the Research outputs of staff.
- 12.2. The Associate Dean, R&RHD will prepare an annual report detailing scholarly activity and Research undertaken by academic staff and present this to the Research and Higher Degrees Committee and Academic Board. The report will include data on the individual staff engaged in teaching, scholarly activity and Research and details of Research outputs.
- 12.3. The Academic Dean will monitor and review the development of scholarship and participation in Research of the whole academic staff, as well as areas for improvement based on the performance management cycle.
- 12.4. The Academic Board will include a summary of scholarly activity and Research outputs as part of its regular reporting to the Board of Directors.

13. Complaints and Appeals

- 13.1. Researchers dissatisfied with outcomes and penalties applied under the Research and Scholarship Policy have access to the internal complaints process, and for AIB students, in the Student Grievance Handling Policy and Procedure.

Related Forms:

Nil

Related Policies:

Responsible Research Conduct Policy and Procedure
Student Grievance Handling Policy and Procedure

Responsibility:

Academic Dean

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