RESEARCH AND SCHOLARSHIP PROCEDURE

Governing Policy
Research and Scholarship Policy

Purpose
This procedure outlines the activity criteria and expectations, conduct of Research responsibilities, and monitoring and reporting processes for Research and Scholarship for AIB Staff, Candidates and students.

Definitions
Unless otherwise defined in this document, all capitalised terms are defined in the glossary.

Procedure

1. **Research Activity Outputs and Expectations**
    1.1   All staff engaged in Research at AIB are expected to undertake Research activity as appropriate to their career stage and level of appointment.

    1.2   Full time academic staff, with the exception of teaching scholars, are required to be Research Active. AIB encourages collegiality among Researchers and expects, and provides forums for, Research activity to be discussed with colleagues and peers.

    1.3   To be Research Active, staff must have a minimum of 3 output points over three years from the following criteria (note that Early Career Researchers (ECRs) require 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 ABDC A or A* and/or Scimago Q1 Journal Article, regardless of author position (2 points);
            •   Refereed Journal Article, regardless of author position (1 point);
            •   Refereed Conference Papers (0.5 point);
            •   Refereed Conference abstract or poster presentation (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 an associate Supervisor, a HDR doctoral Candidate (1.5 point: with 0.5 points at Candidature proposal approval/confirmation and 1 points at thesis completion);
- Supervised to successful completion, as Principal Supervisor, a HDR doctoral Candidate (3 points: with 1 point at Candidature proposal approval/confirmation and 2 points at thesis completion).
- Supervised to successful completion, as an Associate Supervisor, a MMgt research-pathway Candidate (0.5 point);
- Supervised to successful completion, as Principal Supervisor, a MMgt research-pathway Candidate (1 point: with 0.25 points at Candidature proposal approval/confirmation and 0.75 points at thesis completion).
- Note that proposal approval/confirmation upgrades from MMgt to a doctorate will receive the higher of the two points.

(d) Other Research output(s) as approved by the Associate Dean, Research and the Academic Dean.

1.4 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&HDC.

2. Approval of Research Proposals using AIB data

2.1 Staff, Candidates and students intending to conduct Research using AIB internal data must gain approval for proposed Research from the Academic Dean prior to commencing new Research projects.

3. Ethical and Responsible Research Conduct

3.1 Ethics approval, for Research involving human participants, 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.

3.2 Where ethics approval is required, the Researcher will apply to the AIB Ethics Committee. Ethics approval is given at the discretion of the AIB Ethics Committee and may be subject to any conditions that the AIB Ethics Committee considers appropriate.

4. Conflicts of Interest

4.1. Researchers should clearly articulate actual, perceived or potential Conflicts of Interest and how these will be managed when developing Research projects.

4.2. A Researcher who fails to appropriately handle a conflict of interest may be subject to action under AIB's Responsible Research Conduct Procedure.

5. Authorship of Research

5.1. **Criteria of authorship and affiliation**
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.

5.2. 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, Candidates and students, and by joint, conjoint and adjunct appointments where appropriate.

5.3. 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.

5.4. 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.

5.5. For each publication, a senior or executive author who accepts overall responsibility for the publication must be identified.

5.6. All those who have otherwise contributed to the Research output that do not meet the authorship criteria described in 5.1 must be propoerly recognised by acknowledgement where this is appropriate for the type of Research output. This may include contributions made by Researchers, funding bodies, Research infrastructure facilities and organisations.

5.7. **Authorship agreement**
(a) 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, all prior to publication.
(b) Collaborating authors will designate a corresponding author to manage authorship and all communication about the Research output.
    (i) The corresponding author will:
       - ensure that authorship has been offered to all individuals, including staff, Candidates and students, who meet the authorship criteria stipulated in the Research and Scholarship 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.
    (ii) 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.
(c) All authors of Research outputs are to confirm authorship and order of authorship by providing written acknowledgement to the corresponding or responsible author prior to submission of the Research output. The acknowledgement should include:

(i) the agreed order of authors' names in the authorship list on the Research output;

(ii) author agreement that they have met the criteria for authorship attribution and contribution as detailed in the Research and Scholarship Policy;

(iii) approval of the manuscript or Research output that will be submitted for publication.

5.8. **Record keeping**

(a) 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 with the Research output stored in the AIB Research Portal.

6. Research Data and Primary Materials Management

6.1. AIB will provide data management services and safe, secure data and Records storage facilities.

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

6.3. 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.

6.4. 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.

7. Research Partnership Agreements

7.1. Where AIB is involved in any Research partnership 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 Candidates and/or students and any impact on publications;
- consultancies; and
- any physical or infrastructure requirements.

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

7.3. The agreement will be submitted by the Associate Dean, Research to the Academic Dean for approval, with advise sort from the Executive.

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

8. Research Funding-related Leave

8.1. Staff in receipt of external Research funding may apply to the Academic Dean for a period of up to 5 working days (or FTE equivalent) per year of paid leave to undertake funding-related commitments. This is in addition to the annual leave and funds allowance for conference attendance.

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

8.3. External Research funds may be used during this leave period as there is no designated financial allowance available for this purpose. Staff may also be awarded a Publication Bonus and/or apply for an Internal Research Grant (if available) which, if successful, may be used to also support Research-related leave.

8.4. When more than 5 working days or equivelent FTE is required, staff may apply for annual leave or leave without pay.

8.5. Where income is accrued through the external funding, 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.

9. Detection, Investigation and Management of Research Misconduct

9.1. 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).

9.2. 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, Research, the Academic Dean and academic peers.

9.3. Investigation and management of suspected Research Misconduct by a staff member, Candidate or student will be undertaken in accordance with the processes set out in the AIB Responsible Research Conduct Procedure.

10. Scholarship and Scholarly Activity

10.1. 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 or equivalent;
   (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) Study towards relevant higher qualifications;
   (h) Embedding Scholarship within subject teaching.

10.2. 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.

10.3. Funding for Scholarship and Scholarly Activities may be available for (but is not limited to):
   (a) Membership fees for relevant professional associations, including individual and institutional;
   (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) Discounted fees for AIB academics studying relevant higher qualifications at AIB.

10.4. Scholarship of internal full-time staff is discussed at weekly academic staff meetings and seminars to help academics identify opportunities for Scholarship and to share outcomes of scholarly activity. Such regular discussion provides support and encouragement for Scholarship and creates a scholarly collegiality among academic staff.

10.5. All academic staff discuss their individual Scholarship plans at least once a year with their supervisory manager, including their requirements for and availability of financial support.

11. Monitoring and Reporting Research and Scholarship

11.1. The Associate Dean, Research will monitor the Scholarly Activity and Research of all permanent and casual academic staff to ensure an appropriate level of scholarship throughout the institute and to enable accurate and up-to-date recording of the Research outputs of staff.

11.2. The Associate Dean, Research 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.

11.3. 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.

11.4. The Academic Board will include a summary of Scholarly Activity and Research outputs as part of its regular reporting to the Board of Directors.

12. Complaints and Appeals

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

Related Forms:

Nil

Responsibility:

Academic Dean

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