

 <p>S P Jain School of Global Management DUBAI • MUMBAI • SINGAPORE • SYDNEY</p>	Research Ethics and Integrity Policy
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1. Purpose and Scope

- a. This Policy provides a framework for ethical research at S P Jain School of Global Management (S P Jain).
- b. It ensures that research activities conform to accepted ethical standards and that academic integrity is always maintained.
- c. This Policy applies to staff, students and visiting scholars associated with research activities at S P Jain.

2. Guiding Principles

- a. S P Jain and all its affiliated researchers subscribe to the *Australian Code for the Responsible Conduct of Research 2018* issued by the *Australian Research Council (ARC)* and Universities Australia.
- b. Any potential breaches of the Code and/or this Policy will be handled in line with the Guide to Managing and Investigating Potential Breaches of the Code 2018 (the Investigation Guide).
- c. Students who are found to be in breach following an investigation will face disciplinary action in accordance with the *Academic Integrity Policy and Procedures*.
- d. Staff who are found to be in breach following an investigation will face disciplinary action in accordance with the *Staff Code of Conduct Policy*.

- e. Rights of appeal exist under the *Staff Grievance and Complaint Policy and Procedures* or *Student Grievance and Mediation Policy and Procedures* as applicable.

3. Principles of Responsible Research Conduct

- a. The School adheres to the *Principles of Responsible Research Conduct* in line with the *Australian Code for the Responsible Conduct of Research (2018)* as follows:
 - i. **Honesty:** Present information truthfully and accurately in proposing, conducting and reporting research.
 - ii. **Rigour:** Underpin research to robust methodology, avoiding or acknowledging biases.
 - iii. **Transparency:** Declare interests, and report research methodology, data and findings openly, responsibly and accurately.
 - iv. **Fairness:** Treat fellow researchers with respect and appropriately reference and cite the work of others, give credit to contributions through authorship.
 - v. **Respect:** Treat research participants, the wider community, animals and the environment with care and respect, giving appropriate consideration to the needs of minority groups or vulnerable people.
 - vi. **Recognise:** Engage with *Aboriginal and Torres Strait Islander Peoples* to be engaged in research prior to, throughout and following the research.
 - vii. **Accountability:** ensuring that research complies with relevant legislation, policies and guidelines.
 - viii. **Promotion of Responsible Research:** Foster a research culture and environment that supports the responsible conduct of research.

4. Ethics Approvals

- a. Not all research projects will involve ethics approval.
- b. The vast majority of research projects in business and management involve no or “minimal risk”. This means that the risk to human participants as part of, or as an outcome of the research, is minimal to low and should not include any elements of research as set out in Appendix 1.
- c. Irrespective Clause 5a-b, all Doctor of Business Administration course research proposals will require ethics approval as below:
 - i. DBA Ethics approval applications in the "minimal risk" category then they will be approved by the executive members of the Research Ethics Committee.
 - ii. DBA Ethics approval applications which are NOT in "minimal risk" category will need approval of the full Ethics Approval Committee.
- d. Where the project does require ethics approval, the Research Ethics Committee considers and approves ethics applications and subsequently reports all approvals to the Academic Board via the RKCC.

- e. Applications for ethical approval must be submitted in line with the specified procedures and guidelines.

5. Researchers' Responsibilities

- a. Prior to commencing research, the student researcher must consult the supervisor/ project academic mentor (for student projects) and academic and professional staff researcher, Dean – Research to determine whether the project falls within the scope of an ethics approval. If so, they are required to obtain approval from the *Research Ethics Committee* and maintain evidence of such approval.
- b. Researchers are then required to prepare a detailed research ethics application as required by the *Research Ethics Committee* for approval including a full description of the project's activities and all information to participants including a Plain Language Statement and Consent Form.
- c. Researchers are required to comply with the conditions of approval and conduct research ethically.
- d. If any adverse events occur or are observed in others as part of the research, researchers/supervisors should notify the Chair of the RKCC immediately.

6. Breaches of Research Integrity

- a. The School is committed to robust academic and research integrity. Breaches of responsible research and research integrity includes, but not limited to:
 - i. fabrication,
 - ii. falsification,
 - iii. plagiarism,
 - iv. deception in proposing, carrying out or reporting the results of research,
 - v. Collusion – where a piece of work prepared by working closely with one or more individuals or in a group is represented as if it were the researcher's own,
 - vi. Acquiring or commissioning a piece of work, which is not the researchers own and representing it as if it were,
 - vii. failure to declare or manage a serious conflict of interest, and
 - viii. avoidable failure to follow research proposals and ethics applications as approved by the School, Research Ethics committee or delegated academic staff and leaders.
- b. All breaches of this policy or concerns should be reported to the Dean – Research, or the Vice-President - Academic.
- c. Breaches of research integrity will be considered by the RKCC and reported to both the Academic Board and the Board of Directors.

- d. Any penalty imposed may be appealed in accordance with the *Staff Grievance and Complaint Policy and Procedures* or the *Student Grievance Mediation Policy and Procedures* as applicable.

Related Documents

- a. Academic Integrity Policy and Procedures
- b. Research Framework Policy
- c. Research Training and Supervision Policy
- d. Scholarship of Learning and Teaching Policy
- e. Staff Code of Conduct Policy
- f. Staff Grievance and Complaint Policy and Procedures
- g. Student Grievance and Mediation Policy and Procedures

Appendix 1: Determining “minimal risk”

1. If the answers to any of the below questions is “yes” the research project is not considered “minimal risk”:
 - a. Does your research involve the collection of human tissue samples? Human tissue samples include blood and other bodily fluids.
 - b. Does your research involve the deception of participants, including concealing the purposes of research, covert observation and/or audio or visual recording without consent?
 - c. Does your research involve the participation of people without their prior consent?
 - d. Does your research involve withholding from one group specific treatments or methods of learning from which they may benefit?
 - e. Does your research involve the access or use of medical records where participants can be identified or linked to their records in some way?
 - f. Does your research involve the use of ionising radiation?
 - g. Does your research involve the use of personal data obtained from a Commonwealth or State Government Department/Agency without the consent of the participants e.g. getting a list of addresses from the Australian Electoral Commission?
 - h. Does your research specifically target any of the following groups of people; (specifically target means they are the central group of participants, as opposed to potentially being incidentally recruited as part of the general population):
 - i. Women who are pregnant and the human Foetus
 - ii. Children and young people
 - iii. Those highly dependent on medical care who are unable to give consent
 - iv. People with a cognitive impairment, intellectual disability or mental illness
 - v. People who may be involved in illegal activities or residents of custodial institutions
 - vi. Aboriginal and Torres Strait Islander Peoples
 - vii. People in countries other than where the researcher is based and is approved to conduct research
 - viii. People who are unable to give informed consent because of difficulties in understanding an information sheet (i.e. non-English speakers etc.)
 - i. Does your research pose any risks for participants under medical care beyond those of their routine care? (Risks include not only physical risks but also psychological, spiritual and social harm or distress e.g. stigmatisation or discrimination)
 - j. Does your research involve the in-depth discussion of any of the following topics whether by interview or as part of a questionnaire or survey;
 - i. Parenting practices,
 - ii. Sensitive personal issues,
 - iii. Sensitive cultural issues,
 - iv. Grief death or serious traumatic loss,
 - v. Depression mood states or anxiety,
 - vi. Gambling,
 - vii. Eating disorders,
 - viii. Illicit drug taking or substance abuse,
 - ix. Psychological disorders,

- x. Suicide,
 - xi. Gender identity and/or sexuality,
 - xii. Race and/or ethnic identity,
 - xiii. Fertility and/or termination of pregnancy
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- k. Does your research involve the potential disclosure of illegal activities or criminal behaviour? Are there any specific risks to the researcher (e.g., will the research involve the use of hazardous materials or be undertaken in a politically unstable area)?
 - l. If your research will take place in an overseas setting do any of the following apply: is the research to be undertaken in a politically unstable area? Does it involve sensitive cultural issues? And/or: will the research take place in a country in which criticism of the government and institutions might put participants and/or researchers at risk?
 - m. Does your research explore potentially confidential business practices or seek to elicit potentially confidential commercial information from participants?
 - n. Does your research explore potentially divergent political views or involve the collection of politically sensitive information?