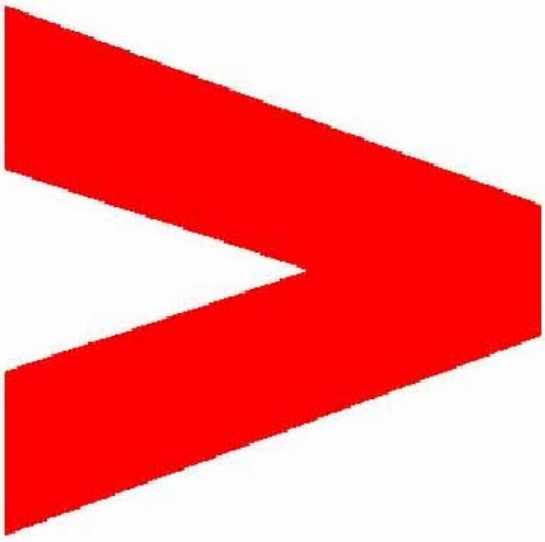
Canberra Institute of Technology

CIT Research Handbook



February 2005

> CIT Gives You A Future

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1. Foreword

Facts, information, knowledge, and wisdom: much of our work at CIT involves pursuit of these. Research, of course, is a vital part of this pursuit.

The purposes and contexts for research in CIT are manifold; however, some fundamental principles apply to all situations, particularly the desire to ensure that research meets accepted ethical standards and is of high quality.

The CIT Research Handbook includes guidance for students and staff on ethical considerations in planning and conducting research, procedures for gaining approval for research and practical advice on conducting research.

Whether your engagement in research at CIT is through projects for students, personal study or participation in an external research project, I commend this guide to you as essential reading.

Peter Veenker
Chief Executive

March 2005

2. Introduction

The *CIT Research Handbook* is a guide for a variety of research purposes and activities at CIT. It is intended to guide those research activities that:

- Involve human participants, that is, in which information is gathered by questionnaires, interviews or observation
- Might encroach on someone's privacy and where there is therefore a real need for consent to be sought, or
- Is unsupported by a formal agreement by CIT

Examples of research situations in which you might need to use advice from this handbook are:

- Requests from external parties to conduct research at CIT or to involve CIT staff
- Student research projects that form part of CIT programs
- Research commissioned by CIT, such as telephone interviews of employers that faculties might undertake
- Research projects conducted by CIT staff for external agencies or for private study, such as cooperative research with another student or teacher from the University of Canberra

Whatever the context and purpose for research at CIT, it is vital that CIT staff and students are aware of:

- CIT's Research Code of Ethics
- Approval requirements
- Participant consent requirements
- Assistance available

The *CIT Research Code of Ethics* section of the handbook includes all necessary forms to apply for approval and to conduct research.

The *Guide to Research Ethics for Students at CIT* is particularly recommended as an easy-to-use document that could be included routinely with notes accompanying any research activity.

3. Research at CIT – quick guide

Who conducts research at CIT?

- CIT students as part of their studies at CIT
- CIT staff as part of their work at CIT, including projects conducted by CIT for external agencies
- External parties seeking information from CIT staff, students or systems

What quality measures does CIT require for research?

- Consent is sought and provided
- Ethical standards are maintained
- The research has a valid purpose
- Research processes are sound and appropriate
- The research is in CIT's best interests

What types of research will need to be approved?

Approval from the CIT Research Ethics Committee is needed for research which:

- Uses interviews, questionnaires, observation and focus groups where the topic is potentially controversial or highly personal
- Identifies individuals and discloses personal information
- Relates to Aboriginal and Torres Strait Islander culture
- Poses potential risk to the participants' well-being beyond normal everyday risks
- Explores anything illegal
- Involves people under 18 years of age as participants

What research is NOT subject to guidelines outlined in this handbook?

Approval is not needed for routine and non-provocative research activities at CIT such as:

- Routine CIT survey research such as employer satisfaction or student satisfaction
- Work which compiles publicly available data or archived data
- Activities covered by other codes of practice, for example the NHMRC code of practice for care and use of animals for scientific purposes
- Projects that are a normal component of CIT courses and are generally approved by the supervising teacher

Who approves research activity at CIT?

- Research conducted by external parties must be approved by the **Chief Executive** (or Delegate) before research can proceed
- Research conducted by CIT staff for projects or study for an external agency (eg enrolment at another educational institution) must be approved by the **CIT Research Ethics Committee**
- Research projects as part of normal teaching and learning at CIT must be approved by the **supervising teacher**, unless they come under the guidelines in *Research Ethics for Students at CIT*

What policies and guidelines cover research at CIT?

All the following policies and guidelines can be found in this handbook.

Policy / guideline	Contents	Handbook section
CIT Research Policy	This sets out the guidelines that staff, students or external students must use in connection with research at CIT	5.1 (page 21)
Research Ethics for Students at CIT	This covers student research as part of their studies at CIT or research for another educational institution or external organisation while they are studying at CIT	4.4 (page 15)
Research Ethics for Staff at CIT	This covers supervising of student research at CIT, plus research at CIT as part of a normal workload, professional development, or for any external purpose	4.3 (page10)
CIT Research Code of Ethics	This covers research by CIT staff or students, and includes research approval requirements, application forms and checklists	7.0 (page 29)
Participating in External Research	This covers external parties seeking information from CIT staff, students or systems or requests to conduct research at CIT	4.5 (page 19)
Principles of Good Research	This is a summary of major considerations for conducting good quality and ethical research	4.1 (page 7)

4. Guidelines

4.1 Principles of Good Research

Research at CIT involves critical investigation of aspects of vocational education and training and includes evaluative studies of training programs.

Research and evaluation at CIT must conform to accepted ethical standards and researchers must demonstrate high standards of professional conduct.

Aims of research

- Research should always be directed towards the enhancement of some human good and be of benefit to the participants. In particular, it should aim to advance the knowledge of vocational education and training and the skills to practice within the field
- Research within the field should be of significance, not guided by trivial concerns, nor should it wastefully consume resources that could be used elsewhere with greater efficacy
- Research on disadvantaged groups should be designed to be for their direct benefit
- Researchers should guard against unintended outcomes that might turn well-intentioned research into the reinforcement of stereotypes
- Researchers should not exploit participants for personal gain or for the benefit of their employer or sponsor

Approach

- Researchers should undertake their work with integrity and honesty
- Researchers should remain informed of developments in the means of gathering and analysing data, in order to advance their practice
- Rigour and professionalism should be applied in the design, planning and conduct of research activities

Harm

- The conduct of research should avoid the risk of causing significant harm
- It is the responsibility of researchers to inform themselves of - and to be sensitive to - cultural, religious, gender and other significant differences in the planning, conduct and reporting of research

Consent

- Informed consent should be secured from all participants in the research
- Being informed refers to knowledge about the purpose, procedures and outcomes of the research activities
- Participants should know when they are participating in research activities and have the right to withdraw

- Participants have a right to be informed of the outcomes and practical consequences of the research
- Requests for CIT staff and students to be informants in research activities being undertaken by external researchers must be made in writing to the Director of CIT
- Prior to the gathering of data, all researchers undertaking research and evaluation projects must obtain approval from their supervisor or from the CIT Research Ethics Committee (See *Research Ethics for Staff at CIT* and *Research Ethics for Students at CIT)*

Confidentiality

- Participants have the right to expect to remain anonymous
- Researchers should report findings and data in such ways that anonymity of participants is maintained and to minimise the prospects that data and findings will be taken out of context or be misused

Reporting the outcomes of research activity

- Publication of research activities should take into account the rights to privacy
- Care should be taken to minimise the likelihood of the data being misunderstood or misrepresented – that is, the context and purpose of data gathering should be made explicit. The limitations of data and deductions from the data should be reported as a matter of routine
- The reporting of research should be undertaken with honesty and integrity. Researchers should report findings without concerns for the fear of or favour of those sponsoring the research

References

1. *The Code of Practice* for the Australian Vocational Education and Training Research Association (AVETRA) drawn from the code of ethics of the Australian Association for Research in Education
2. *Joint NHMRC/AVCC Statement and Guidelines on Research Practice* (May 1997)

4.2 Research Approval

The following table outlines the approval requirements for research undertaken by CIT students, CIT staff and external parties.

Researcher	Type of Research	Approval Requirement
CIT Students	**Research** for CIT studies or projects that form part of CIT programs	Research projects as part of normal teaching and learning at CIT must be approved by the supervising teacher. Selected research proposals must be approved by the CIT Research Ethics Committee. Guidelines apply: see *Research Ethics for Students at CIT*
	Research for projects or study for another educational institution or external agency while student is studying at CIT e.g. concurrent enrolment at another educational institution	All such proposals must be approved by the Director, CURVE: see *Research Ethics for Students at CIT*
CIT Staff	**Research** as part of employment at CIT e.g. supervising student research	All such proposals (except routine surveys) must be approved by the CIT Research Ethics Committee. Guidelines apply: see *Research Ethics for Staff at CIT*
	Research as part of CIT Teacher Education Program or CIT professional development activity	Advice on research proposals to be provided by the Director, CURVE to the Teacher Education Department
	Research for projects or study for an external agency e.g. enrolment at another educational institution	All such proposals must be approved by the CIT Research Ethics Committee
External Parties	**Research** involving CIT, its policies, processes, staff or students for projects or study for an external agency	All such research must be approved by the Chief Executive (or Delegate). Guidelines apply: see *Participating in External Research*

4.3 Research Ethics for Staff at CIT

Checklist for Ethics in Research

Use this checklist to help you to ensure that your students' research - and your own research - is ethical.

Planning	Issue	Action
	Have you clarified your expectations of your research with your supervising teacher? Have you thought about who you have to get consent from e.g. the CIT Research Ethics Committee, students, teachers, employers or agencies? Have you identified any conflicts of interest in your research?	

Preparation	Issue	Action
	Have you sought permissions from all those involved in your research and checked whether participants wish to remain anonymous or not? Have you given all those participating in the research adequate information about the project aims and purpose? Have you developed strategies to ensure confidentiality and privacy? Have you developed a timeline and made all the necessary contacts to ensure least disruption possible?	

Collection	Issue	Action
	Have you ensured privacy by gathering only the information you need? Have you ensured least disruption possible to all concerned? Have you stored your data safely to ensure confidentiality and privacy?	

Analysis and reporting	Issue	Action
	Have you written your findings accurately using non-discriminatory language? Have you avoided bias and assumptions? Have you avoided plagiarism by attributing all information? Have you acknowledged all participants (within the constraints of privacy)? Have you obtained copyright clearances, if you have used other people's material?	

Dissemination	Issue	Action
	Have you given all stakeholders feedback? Have you disseminated the report to all sponsors/stakeholders? Have you stored a hardcopy and digital copy of all disseminated reports/papers securely?	

Modified and adapted from: Watt, J., *Ethical Issues for Teacher Researchers,* The Scottish Council for Research in Education, http://www.scre.ac.uk/spotlight/spotlight49 Downloaded13/12/02

Who needs to read this guide?

You will need to read this guide if you are:

- Supervising student research in a CIT course
- Doing research within CIT as part of your normal workload
- Involving CIT in any way in research you are doing – either as a teacher education student within CIT or as a university student outside CIT
- Taking part in research by someone outside CIT, in response to their request

What types of research will need to be approved?

You will need to seek approval from the CIT Research Ethics Committee for research which:

- Uses interviews, questionnaires, observation and focus groups where the topic is potentially controversial or highly personal
- Identifies individuals and discloses personal information
- Relates to Aboriginal and Torres Strait Islander culture
- Poses potential risk to the participants' well-being beyond normal everyday risks
- Explores anything illegal
- Involves people under 18 years of age as participants

What research is NOT subject to CIT guidelines?

Approval is not needed for routine and non-provocative research activities at CIT such as:

- Routine CIT survey research such as employer satisfaction or student satisfaction
- Work which compiles publicly available data or archived data
- Activities covered by other codes of practice, for example the NHMRC code of practice for care and use of animals for scientific purposes
- Projects that are a normal component of CIT courses and that are generally approved by the supervising teacher

Responsibilities for research in CIT

Research that is part of normal teaching and learning at CIT is usually approved by the supervising teacher. If you are in doubt or if you need advice, check with your research supervisor or the Director of CURVE (Centre Undertaking Research in Vocational Education) at CURVE@cit.act.edu.au

If you are involved in any of the other kinds of research listed above as needing approval, you should seek advice and approval from the CIT Research Ethics Committee. First contact for this committee is the Convenor, Berwyn Clayton at CURVE@cit.act.edu.au

Why do you need a guide to research ethics?

Guidance on research ethics can help to protect your students in their roles as researchers, yourself as a researcher, and the interests of the Institute.

Ensuring that research is ethical means that all those involved in the research will be protected from being harmed by the research. This could be physical harm, caused if OH&S practices are not followed. It could be psychological or emotional harm caused if someone's privacy is violated. It could be economic harm caused if someone's confidentiality is not respected. Or it could be spiritual harm from research which intrudes on someone's cultural or religious beliefs. Guidelines can help you to avoid these pitfalls – either as a participant in research or a researcher.

Guidelines can help you to avoid these pitfalls – either as a researcher or a participant in research.

Ensuring that research is ethical also means that you will be able to undertake research within the laws concerning copyright, intellectual property and privacy. It will therefore enable you to protect the Institute's interests as well as individuals' interests – and your own.

Key ethical considerations for researchers

- Consent – researchers must obtain a signed consent form from participants before they take part in research
- Justice – researchers must ensure that participants' benefits from the research are greater than the burden, and that there is no conflict of interest
- Harm avoidance – researchers must ensure minimum harm, risk, discomfort, disruption and inconvenience to participants
- Respect – researchers must ensure respect for people's rights, welfare, cultural heritage, beliefs and individuality
- Privacy and confidentiality – researchers must seek approvals to conduct research, must inform participants about confidentiality arrangements, must ensure participants know of their right to remain anonymous, and must store and present information respecting its confidentiality
- Young people – if a participant is under 18, researchers must advise both the primary caregiver and the participant of the nature of the research, and ask them to sign an informed consent section on the consent form; principal researchers must also sign a form declaring their awareness of special responsibilities in dealing with young people
- Intellectual property – researchers must acknowledge others' roles in research, whether as authors, research assistants, students or providers of facilities. (Note that intellectual property created by CIT staff is the property of CIT unless otherwise agreed in writing)

What do you need to do to ensure your research is ethical?

The following are typical cases of people involved in research at CIT. They show what action you can take to ensure your participation in research is ethical.

CASE 1: Teacher supervising students' research

- *Ensure that your students understand the importance of research ethics*
- *Help your students to follow the* Checklist for Ethics in Research *(see the inside front cover of this brochure).*
- *If in doubt, contact CURVE (Centre Undertaking Research in Vocational Education) by email at CURVE@cit.act.edu.au*

CASE 2: Staff member researching within CIT teacher education

- *Seek approval for your research from your supervising instructor*
- *Follow the* Checklist for Ethics in Research *(see the inside front cover of this brochure)*

CASE 3: Staff member researching for non-CIT purposes

- *If you are doing research for university study and intend to include CIT staff, students or resources in your research, seek approval from the CIT Research Ethics Committee before starting your research. First contact for this committee is the convenor, Berwyn Clayton at CURVE@cit.act.edu.au*
- *Submit a research proposal including your aims, methodology, instruments, participants, sample size and methods of analysis. Attach any documentation you will use, such as consent forms and information sheets (see the CIT Research Handbook for samples)*

CASE 4: Staff member researching as part of CIT workload

- *If you are undertaking a project for CIT, including projects conducted by CIT for an external agency, seek approval from the CIT Research Ethics Committee before starting your research. First contact for this committee is the convenor, Berwyn Clayton at CURVE@cit.act.edu.au*
- *Submit a research proposal including your aims, methodology, instruments, participants, sample size and methods of analysis. Attach any documentation you will use, such as consent forms and information sheets (see the CIT Research Handbook for samples)*

CASE 5: Staff member taking part in external research

- *Ensure that the external agency conducting the research has obtained permission from the CIT Chief Executive (or his delegate) before you proceed with the research*
- *Ask for a consent form to sign, that will spell out your rights as a participant in the research*

Where can you find out more about research ethics at CIT?

If you are not sure about conducting research in CIT, please consult:

- your research supervisor
  OR
- Berwyn Clayton, the Director of CURVE (Centre Undertaking Research in Vocational Education) by email at CURVE@cit.act.edu.au

Further sources of information about research ethics

The *CIT Research Code of Ethics* covers research by CIT staff or students. It is available in this handbook in Section 7.

4.4. Research Ethics for Students at CIT

Checklist for Ethics in Research

Use this checklist to help you to ensure your research is ethical.

Planning	Issue	Action
	Have you clarified your expectations of your research with your supervising teacher? Have you thought about who you have to get consent from e.g. the CIT Research Ethics Committee, students, teachers, employers or agencies? Have you identified any conflicts of interest in your research?	

Preparation	Issue	Action
	Have you sought permissions from all those involved in your research and checked whether participants wish to remain anonymous or not? Have you given all those participating in the research adequate information about the project aims and purpose? Have you developed strategies to ensure confidentiality & privacy? Have you developed a timeline and made all the necessary contacts to ensure least disruption possible?	

Collection	Issue	Action
	Have you ensured privacy by gathering only the information you need? Have you ensured least disruption possible to all concerned? Have you stored your data safely to ensure confidentiality & privacy?	

Analysis and reporting	Issue	Action
	Have you written your findings accurately using non-discriminatory language? Have you avoided bias and assumptions? Have you avoided plagiarism by attributing all information? Have you acknowledged all participants (within the constraints of privacy)? Have you obtained copyright clearances, if you have used other people's material?	

Dissemination	Issue	Action
	Have you given all stakeholders feedback? Have you disseminated the report to all sponsors/stakeholders? Have you stored a hardcopy and digital copy of all disseminated reports/papers securely?	

Modified and adapted from: Watt, J., *Ethical Issues for Teacher Researchers,* The Scottish Council for Research in Education, http://www.scre.ac.uk/spotlight/spotlight49 Downloaded13/12/02

Who needs to read this guide?

- Staff who develop research tasks for students as part of CIT programs
- Students who do research as part of their studies at CIT
- Students who do research for another educational institution or external organisation while they are studying at CIT

Why do you need a guide to research ethics?

Guidance on research ethics can help to protect you as a researcher and those involved in your research.

Ensuring that research is ethical means that all those involved in the research will be protected from being harmed by the research. This could be physical harm, caused if you do not follow OH&S practices. It could be psychological or emotional harm caused if you violate someone's privacy. It could be economic harm caused if you do not respect someone's confidentiality. Or it could be spiritual harm from research in which you intrude on someone's cultural or religious beliefs. Guidelines can help you to avoid these pitfalls when researching.

Ensuring that research is ethical also means that you will be able to undertake research within the laws concerning copyright, intellectual property and privacy. It will therefore enable you to protect the Institute's interests as well as individuals' interests – and your own.

Where do you seek approval for research?

If the research you undertake is part of your normal learning at CIT, it is usually approved by your supervising teacher. Your teacher may seek advice from the CIT Research Ethics Committee if your research has any features that could endanger people's privacy and well-being.

If you are a CIT student doing research in CIT for another educational institution or external organization, you need to seek approval from the CIT Research Ethics Committee through the Director of CURVE (Centre Undertaking Research in Vocational Education) at CURVE@cit.act.edu.au

If you are in doubt, check with your teacher or the Director of CURVE (Centre Undertaking Research in Vocational Education) at CURVE@cit.act.edu.au

What types of research will need to be approved?

You will need to seek approval from the CIT Research Ethics Committee for:

- Research involving interviews, questionnaires and focus groups where the topic is potentially controversial or highly personal
- Research identifying individuals and disclosing personal information
- Research involving Aboriginal or Torres Strait Islander people because they are indigenous
- Research relating to Aboriginal or Torres Strait Islander artifacts of a cultural or religious nature

- Research which has potential risk to the participants' well-being beyond the normal everyday risks
- Research into anything illegal
- Research with people under 18 years of age as participants

What types of research are NOT subject to guidelines outlined in this handbook?

Approval is not needed for routine and non-provocative research activities at CIT such as:

- Routine CIT survey research such as employer satisfaction or student satisfaction
- Work which compiles publicly available data or archived data
- Activities covered by other codes of practice, for example the NHMRC code of practice for care and use of animals for scientific purposes
- Projects that are a normal component of CIT courses and are generally approved by the supervising teacher

Who oversees research ethics at CIT?

The CIT Research Ethics Committee is responsible for approving research activity in CIT.

Where can you find out more about research ethics at CIT?

If you are not sure about conducting research in CIT, please contact your teacher OR the Director of CURVE (Centre Undertaking Research in Vocational Education) by email at CURVE@cit.act.edu.au

The *CIT Research Code of Ethics* covers research by CIT staff or students. It is available in this handbook in Section 7.

What do you need to do to ensure your research is ethical?

The following are typical cases of people involved in research at CIT. They show what action you can take to ensure your participation in research is ethical.

Scenario 1:

Simone is a CIT student doing minor research as part of normal teaching and learning at CIT. What must she do to ensure her research is within CIT's ethical guidelines?

- *She first seeks approval for her research from her supervising teacher*
- *She carefully follows the* Checklist for Ethical Research *(see the inside front cover of this brochure)*

Scenario 2:

Lee is a CIT student who is enrolled at CIT, but who is also doing a university research project that involves CIT students and teachers. What must he do to ensure his research is within CIT's ethical guidelines?

- *He prepares a statement about how he is involving CIT in his university research*
- *He submits the proposal for sign-off, by emailing it to the Director of CURVE (Centre Undertaking Research in Vocational Education) at* CURVE@cit.act.edu.au

Scenario 3:

Susan is a CIT student who has been asked to take part in some research that a friend is undertaking outside CIT that involves CIT or CIT staff and students. What must she do to ensure that both she and CIT are protected during this research?

- *She checks with her friend that he has obtained permission from the Chief Executive to undertake the research within CIT*
- *She asks her friend for a consent form to sign, that spells out her rights*

4.5 Participating in External Research

Who needs to read this guide?

You will need to read this guide if you are:

- An **external party** wishing to have access to CIT staff or resources for consultation or research
- A **CIT staff member** who has been asked to provide information to an external party as part of a research or consultation project by the national VET system, a Government or non government agency, or by private or academic researchers

Why do you need a guide to research ethics?

Guidance on research ethics can help to protect the staff, resources and interests of CIT, and researchers themselves.

Ensuring that research is ethical means that all those involved in the research will be protected from being harmed by the research. This could be physical harm, caused if OH&S practices are not followed. It could be psychological or emotional harm caused if someone's privacy is violated. It could be economic harm caused if someone's confidentiality is not respected. Or it could be spiritual harm from research which intrudes on someone's cultural or religious beliefs. Guidelines can help you to avoid these pitfalls – either as a participant in research or a researcher.

Ensuring that research is ethical also means that it will be undertaken within the laws concerning copyright, intellectual property and privacy. This will protect the interests of participants, institutes and researchers.

When is approval required for research?

Approval from the Chief Executive is required for research / consultation that:

- Records whole of CIT approaches
- Is conducted for national agencies, individuals or organisations (including NCVER, ANTA, DEST)
- Is conducted for any law enforcement or legislative agency
- Supports any government enquiry, task force or investigation
- Seeks a formal CIT position or approach
- Seeks information on typical or common CIT practices
- Uses data extracted from CIT business systems
- Will identify the information gathered as sourced from CIT

What are CIT's responsibilities to ensure research is ethical?

CIT must ensure that any information provided is:

- Approved by CIT
- Accurate
- In CIT's best interest
- Recorded accurately by the researcher / consultant

What are external parties' responsibilities to ensure research is ethical?

Before CIT considers approving research, external parties must identify:

- Researchers / consultants
- Purpose of the research / consultation
- Methodology of the research / consultation
- Organisation conducting the research / consultation
- Organisation commissioning the research / consultation
- How the research will be published (if information is available)

After requests are approved by CIT, external parties must:

- Provide consent forms to establish clear approval for the research/consultation
- Provide either a full transcript or summary of any interviews or focus group interviews for verification and approval by the informants and individuals prior to its use
- Advise CIT of the research / consultation outcomes e.g. publication or advice

What are CIT staff members' responsibilities to ensure research is ethical?

- When a request for research has been approved, CIT staff members who are requested to provide information must:
- Check with the researcher / consultant that the CIT Chief Executive's (or Delegate's) approval has been obtained (through the Senior Manager, CIT Directorate)
- Sign a consent form provided by the researcher / consultant
- Refer the researcher/consultant to the Senior Manager, CIT Directorate if the Chief Executive's (or Delegate's) approval has not been obtained or no consent form is provided

5. Policies

5.1 CIT Research Policy

Purpose

To ensure that research and evaluation undertaken within the Institute conforms to accepted ethical standards and that researchers involved in such research are committed to high standards of professional conduct.

It is a basic assumption of institutions conducting research that their researchers are committed to high standards of professional conduct. Researchers have a duty to ensure that their research work enhances the good name of their institution and the profession to which they belong.

Scope

This policy covers:

- Research and/or evaluation studies undertaken by CIT staff within the Institute as part of faculty/division projects or the annual research work plan
- Research and/or evaluation studies undertaken by CIT staff within the Institute as part of external studies
- Research and/or evaluation studies undertaken within the Institute by researchers external to CIT

Definitions

Research involves critical investigation of aspects of vocational education and training and includes evaluative studies on training programs

Ethics involves the application of 3 basic principles:

- *respect for persons*, that is, that individuals should be treated as autonomous agents and that persons with diminished autonomy are entitled to protection
- *beneficence*, that is, that there are obligations to maximise possible benefits and minimise possible harms
- *justice*, that is, that the question of who ought to receive the benefits of research and bear its burdens be resolved

Evaluation is an analytical process that involves the collection and reduction of data culminating in the synthesis of a report containing recommendations about the program being evaluated. It involves the making of judgments about policies and programs

Principles

1. All research conducted at CIT and by CIT students and staff must conform to the relevant guidelines set out in *The CIT Research Handbook*, namely:

- *Research Ethics for Students*
- *Research Ethics for Staff*
- *Participating in External Research*
- *Code of Research Ethics*

2. The following research activities must be approved by the CIT Research Ethics Committee:

- Research involving interviews, questionnaires and focus groups where the topic is potentially controversial or highly personal
- Any research identifying individuals and disclosing personal information
- Research involving Aboriginal or Torres Strait Islander people because they are indigenous
- Research relating to Aboriginal or Torres Strait Islander artefacts of a cultural or religious nature
- Research which has potential risk to the participants' well-being beyond the normal everyday risks
- Research into anything illegal
- Research with people under 18 years of age as participants

Delegations

Approve research at CIT by external party	Chief Executive
Approve CIT student research as part of normal coursework	Supervising teacher for the subject
Approve external research at CIT by a CIT student	Director, CURVE
Approve Faculty or CIT-wide internal research	Research Ethics Committee

References

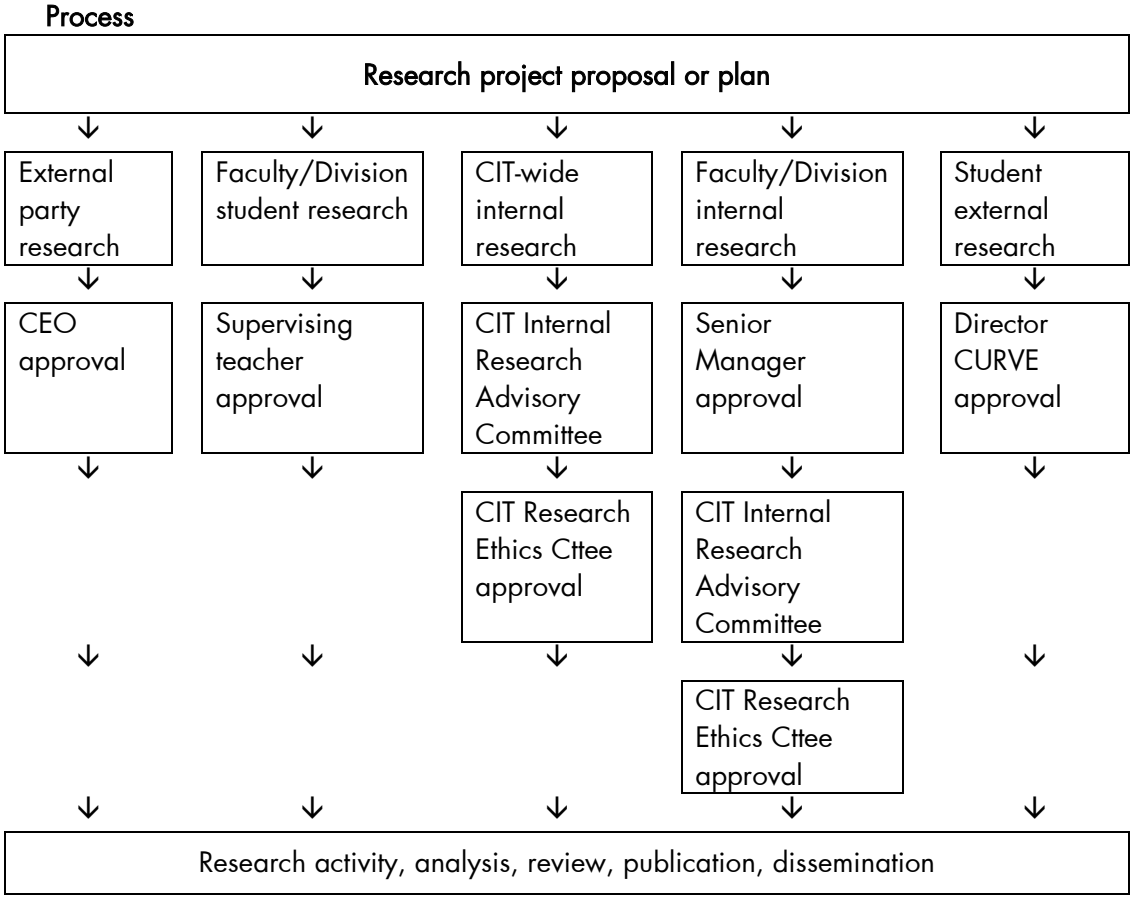
The Code of Practice for the Australian Vocational Education and Training Research Association (AVETRA) drawn from the code of ethics of the Australian Association for Research in Education
Joint NHMRC/AVCC Statement and Guidelines on Research Practice (May 1997)
CIT Research Code of Ethics
Guidelines for requests from external parties for consultation or research access to CIT staff or resources
CIT Research Handbook

Contact Officer

Director, Centre Undertaking Research in Vocational Education

Revision History

	DAC	Signed off by Director
Initial policy	14/9/00	15/9/00
Revised Policy: Position descriptions changed e.g. Director CURVE	24/7/02	
Revised Policy: original policy *Code of Research Practice and Ethics* replaced by *CIT Research Policy*	01/4/05	


Process
Research project proposal or plan
External party research
Faculty/Division student research
CIT-wide internal research
Faculty/Division internal research
Student external research
CEO approval
Supervising teacher approval
CIT Internal Research Advisory Committee
Senior Manager approval
Director CURVE approval
CIT Research Ethics Cttee approval
CIT Internal Research Advisory Committee
CIT Research Ethics Cttee approval
Research activity, analysis, review, publication, dissemination

5.2 Program Evaluation Policy

Purpose
To ensure that CIT programs are monitored and evaluated so as to maintain their quality and relevance in line with accreditation requirements.

Scope
This policy covers program evaluations conducted by teaching staff in the faculties and the Education Development Centre at CIT.

Definitions
Program evaluation involves systematically collecting comments from stakeholders on the usefulness of and perceptions of a program; interpreting the information gathered and acting on the results to make improvements.

Principles
- All CIT developed programs are evaluated before they are revised and submitted for re-accreditation
- At least one full program evaluation is undertaken, documented and reported within the accreditation period of the program
- Program evaluations are a significant input to program design, development and review and should seek feedback from students, teachers and other relevant stakeholders [employers, professional bodies, and other education institutions]
- The outcomes of ongoing evaluation of subjects are incorporated into the final program evaluation
- Evaluation participants are informed about the purpose of the evaluation and the voluntary and confidential nature of the process
- The outcomes and program improvements resulting from program evaluations are communicated to students and other relevant stakeholders

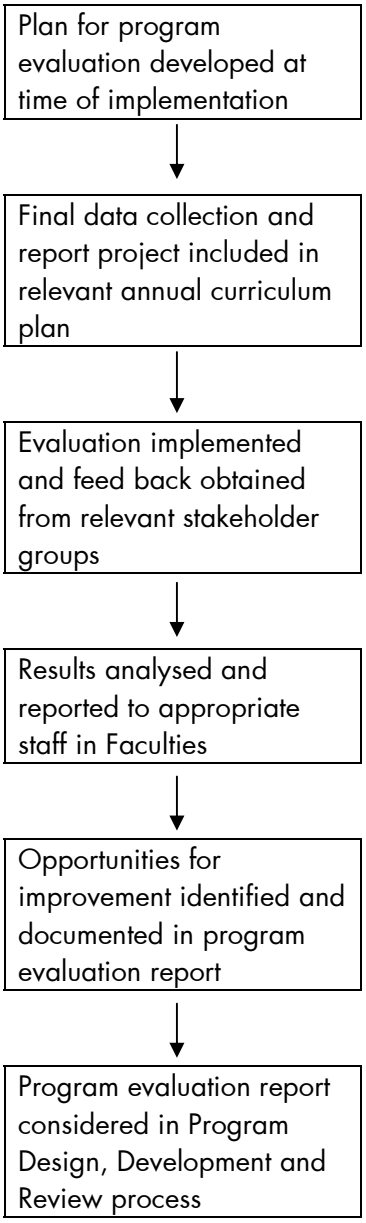
References
Goleby A and Clayton, B 2000 *Evaluation Kit: Making a World of Difference to Training* -EVKIT 2000 on CIT Staff Information System (SIS)
AQTF Standards for Registered Training Organisations 2001

Contact Officer
Senior Manager, Education Development Centre

Revision History

	DAC	Signed off by Director
Initial policy	14/9/00	15/9/00
Revised Policy One reference amended and one reference added.	July 2002	

Process


Plan for program evaluation developed at time of implementation
Final data collection and report project included in relevant annual curriculum plan
Evaluation implemented and feed back obtained from relevant stakeholder groups
Results analysed and reported to appropriate staff in Faculties
Opportunities for improvement identified and documented in program evaluation report
Program evaluation report considered in Program Design, Development and Review process

6. Committees

6.1 CIT Internal Research Advisory Committee

Terms of Reference

Purpose
To identify and recommend annual research priorities to inform the CURVE workplan

Background
In April 2004 DAC approved revised arrangements for managing internal research:

- A new process for determining priorities for internal CIT research conducted by CURVE through a new Internal Research Advisory Committee
- Replacement of the Survey Steering Committee
- Audit and Quality Unit to assume responsibility for reviewing the results of the Student Opinion Survey, the Graduate Satisfaction Survey and the Employer Satisfaction Survey and for developing draft recommendations based on these results

Scope
Internal research needs identified through Faculty/Division Business Plans or by CIT committees or working groups.

Sponsor Dean, Learning Services Division

Membership

- Director of CURVE (Centre Undertaking Research in Vocational Education)
- Chair of Faculties
- General Manager Corporate Services
- Dean of Learning Services (Chair)

Process

1. Annual research needs are identified through Faculty/Division Business Plans or by CIT committees or working groups by December
2. The Internal Research Advisory Committee reviews the identified needs in the following February and recommends priorities to inform the CURVE work plan
3. The Internal Research Advisory Committee may consult the Committee of Deans to assist in determining priorities
4. The Internal Research Advisory Committee submits recommended research priorities to DAC for approval
5. A reserve capacity for emergent research needs should be preserved in the CURVE work plan
6. The CURVE research work plan is provided to Board of Studies for information
7. For emergent research needs the Director of CURVE will determine CURVE's capacity to meet these needs

6.2 CIT Research Ethics Committee

Terms of Reference

Purpose
To approve research proposals submitted according to the *CIT Research Policy*

Background
Research involving human participants i.e. information being gathered by questionnaires, interviews or observation will require ethical approval. Since the implementation in 1999 of the *National Statement on Human Research Ethics,* approval is required for most research involving people to protect them from privacy and harm. The CIT Research Ethics Committee is responsible for approving research activity through CIT.

Scope
Research requiring approval includes:
- Research involving interviews, questionnaires and focus groups (e.g. investigating personal values or moral, political or spiritual beliefs) where the topic is potentially controversial or highly personal
- Any research identifying individuals and disclosing personal information
- Research involving Aboriginal Torres Strait Islander people because they are indigenous
- Research relating to Aboriginal Torres Strait Islander artefacts of a cultural or religious nature
- Research which has potential risk to the participants' well-being beyond the normal everyday risks
- Research into anything illegal
- Research with people under 18 years of age as participants

Data Research seen to be beyond the ethics committee includes:
- Work which involves the compilation of publicly available data or archived data
- Activities that are covered by the NHM&RC Australian Code of practice for the Care and Use of Animals for Scientific Purposes and the Animal Welfare ACT 1992 (ACT)
- Other scientific research which is governed by existing external guidelines and codes of practice
- Projects that are a normal component of CIT courses and are generally approved by the supervising teacher (refer to the Guides to *Research Ethics for Staff* and *Research Ethics for Students*)

Sponsor
Dean, Learning Services Division

Membership

- Director of CURVE (Chair)
- Nominee from Committee of Deans
- Head of Unit Education Development Centre or nominee
- Dean of Learning Services or Delegate
- Co-opted external member where appropriate

Responsibilities of the CIT Research Ethics Committee

On application the committee will ascertain whether:

- An effective strategy is in place to obtain permission from the most appropriate person in the organisation for the conduct of the research
- The participants in the research are likely to be protected from harm either physically, psychologically, spiritually or emotionally
- The research approach will ensure that confidentiality and privacy will be maintained if a statement to that effect is included in the documentation provided to participants
- OH&S principles have been addressed and comply with the requirements and
- The research will comply with the policy guidelines and administrative requirements of the Institute.

Process

- Committee meets as required
- Applications are to be submitted on the appropriate forms included in the CIT Research Handbook
- Applications are assessed against the CIT Research Code of Ethics Research Checklist
- Applications are assessed against CIT Research Code of Ethics Principles of Ethical Conduct
- Applicants are advised of outcome within two weeks, including reasons for any applications that are not approved or requirements to secure approval

7. CIT Research Code of Ethics

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Purpose

The purpose of this code is to outline the standards and ethical code of researchers within Canberra Institute of Technology. These standards and ethics are based on:

- Researchers being committed to professional conduct and integrity
- Research being purposeful and in the pursuit of truth
- Research having clearly defined aims and methodology
- Research findings being presented accurately, fairly and in an appropriate medium
- Researchers ensuring the safety and well-being of all of those associated with the research
- Researchers observing special consideration groups including: those under 18, persons in dependent or unequal relationships (persons with disabilities with carers, students and teachers, employees and employers) and Aboriginal and Torres Strait Islanders[1]
- Research being aligned to the strategic interests of CIT and the VET system

Scope

Researchers are to familiarise themselves with this code. The code covers the following:

- Research undertaken by CIT staff *and approved through CIT
- Research undertaken by CIT staff as part of an external project
- Research undertaken by external researchers within CIT and
- Research undertaken by CIT staff or students as part of their studies or an external education or training program

* Staff includes all CIT staff regardless of employment mode or category

[1] For more information: *Ethics in Research Involving Aboriginal and Torres Strait Islander People*, www.research.murdoch.edu.au 18/02/05

Definitions

Research can be defined as an investigation to establish facts or the study of some matter to obtain or confirm knowledge[2]

Integrity can be defined as 'a genuine search for knowledge' and adherence to recognised principles of ethical conduct in research[3]

Beneficence can be defined as 'the responsibility of the researcher to minimise risks or discomfort to participants'[4]

Consent can be defined as '… the informed and voluntary consent of potential participants must be obtained before they are included in research'[5]

The Federal Privacy Act 1988 (Cth) protects the personal information of all Australians[6]

Information Privacy Principles in the Privacy Act govern the rules for the collection, storage, use and disclosure of information handled by the federal government and the ACT government.[7] See Attachment A for more information. The National Privacy Principles set out the guidelines for private sector organisations. Each state and territory also has privacy legislation that needs to be acknowledged in conjunction with the Privacy Act (Cth)

The ACT *Children and Young People Act 1999* acknowledges that it is inappropriate to refer to anyone under 18 as a 'child', therefore refers to those who are 12 years of age and over as 'young people'[8]

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[2] Resource: *National Statement on Ethical Conduct in Research*, 1999, AusInfo, Commonwealth Government, Canberra, p.6 www.nhmrc.gov.au/publications/pdf/e35.pdf 18/02/05
[3] Resource: *An introduction to research ethics at QUT*, University Human Research Ethics Committee, Queensland University of Technology, Research Ethics Booklet Number 1, p.2 http://www.research.qut.edu.au/oresearch/ethics/manpro2.jsp 18/02/05
[4] Ibid, p.2
[5] Ibid, p.2
[6] Resource: *Your Privacy Rights*, August 2002, Office of the Federal Privacy Commissioner, http://www.privacy.gov.au/privacy_rights/ 18/02/05
[7] Ibid
[8] Resources: *The Children & Young People Act 1999*, and *Keeping Children Safe* (booklet), 2003, ACT Department of Education and Community Services: http://www.decs.act.gov.au 18/02/05

Approval Requirements

Most research conducted through CIT, that is research approved and/or supervised by CIT staff, must be approved by the CIT Research Ethics Committee.

Research Ethics Committee

Research involving human participants i.e. information being gathered by questionnaires, interviews or observation will require ethical approval. Since the implementation in 1999 of the *National Statement on Human Research Ethics,* approval is required for most research involving people to protect them from privacy and harm. The CIT Research Ethics Committee is responsible for approving research activity through CIT.

The Ethics Committee membership is:

- Director of CURVE (Centre Undertaking Research in Vocational Education)
- Dean of LSD or nominee
- Nominee from Committee of Deans
- Head of Unit EDC or nominee
- Co-opted members where appropriate

The Committee meets as required.

Research requiring approval includes:

- Research involving interviews, questionnaires and focus groups where the topic is potentially controversial or highly personal
- Any research identifying individuals and disclosing personal information
- Research involving Aboriginal Torres Strait Islander people because they are indigenous
- Research relating to Aboriginal Torres Strait Islander artefacts of a cultural or religious nature
- Research which has potential risk to the participants' well-being beyond the normal everyday risks
- Research into anything illegal
- Research with people under 18 years of age as participants

Research **seen to be beyond the ethics committee includes:**

- Routine CIT survey research such as employer satisfaction or student satisfaction
- Work which involves the compilation of publicly available data or archived data
- Activities that are covered by the NHM&RC Australian Code of practice for the Care and Use of Animals for Scientific Purposes and the Animal Welfare ACT 1992 (ACT)
- Other scientific research which is governed by existing external guidelines and codes of practice

- Projects that are a normal component of CIT courses and are generally approved by the supervising teacher (refer to the Guides to *Research Ethics for Staff at CIT* and *Research Ethics for Students at CIT*)

Summary of Approval Requirements

The following table outlines the approval requirements for research undertaken by CIT students, CIT staff and external parties.

Researcher	Type of Research	Approval Requirement
CIT Students	**Research** for CIT studies or projects that form part of CIT programs	Research projects as part of normal teaching and learning at CIT must be approved by the supervising teacher. Selected research proposals must be approved by the CIT Research Ethics Committee. Guidelines apply: see *Research Ethics for Students at CIT*
	Research for projects or study for another educational institution or external agency while student is studying at CIT e.g. concurrent enrolment at another educational institution	All such proposals must be approved by the Director, CURVE: see *Research Ethics for Students at CIT*
CIT Staff	**Research** as part of employment at CIT e.g. supervising student research	All such proposals (except routine surveys) must be approved by the CIT Research Ethics Committee Guidelines apply: see *Research Ethics for Staff at CIT*
	Research as part of CIT Teacher Education Program or CIT professional development activity	Advice on research proposals to be provided by the Director CURVE to the Teacher Education Department
	Research for projects or study for an external agency e.g. enrolment at another educational institution	All such proposals must be approved by the CIT Research Ethics Committee
External Parties	**Research** involving CIT, its policies, processes, staff or students for projects or study for an external agency	All such research must be approved by the Chief Executive (or Delegate) Guidelines apply: see *Participating in External Research*

Getting Approval

If you do need approval, you need to complete the application form asking for approval. An example of an application form is attached as Form 1, Attachment B, which requires:

- Personal details of researcher/s – names, contact details
- Research experience and employment details
- Name of department/supervisor
- Proposed field of study and nature of research

Documentation

The CIT Research Ethics Committee will need you, the researcher, to develop and submit the following documentation attached with your application form:

- Research proposal, including aims
- Proposed research methodology, including instruments, research participants sample size, methods of analysis
- Letter to institute directors, CEOs or relevant authority seeking approval to conduct the research
- Consent forms for the organisation and individual participants
- Information sheet setting out details of the research
- Confidential Declaration by Principal Researcher if participants are under 18

Examples of some of these can be found at Attachment B.

Responsibilities of the CIT Research Ethics Committee

On application, the committee will ascertain whether:

- An effective strategy is in place to obtain permission from the most appropriate person in the organisation for the conduct of the research
- The participants in the research are likely to be protected from harm either physically, psychologically, spiritually or emotionally
- The research approach will ensure that confidentiality and privacy will be maintained if a statement to that effect is included in the documentation provided to participants
- OH&S principles have been addressed and comply with the requirements
- The research will comply with the policy guidelines and administrative requirements of the Institute

Principles of Ethical Conduct

The principles of ethical conduct are:

- Integrity in the conduct of the research, and in the dissemination and communication of the research findings
- Respect for persons in regards to rights, welfare, cultural heritage, beliefs and individuality of those participating
- Beneficence – this being the responsibility of the researcher to minimise harm, risk, discomfort and inconvenience
- Unnecessary disruption – it is the responsibility of the researcher to ensure there is limited disruption to any participants within institutions

- Justice – the researcher has a responsibility to avoid unfair burdens on participants, to avoid exclusion or inclusion in a way that it could be discriminatory and to ensure the proportion of benefit is greater than the burden to the participants[9]

Moral Reasoning

Consequences and effects of the research to be acknowledged are:

- Awareness of the human good and views of life, with research being for the human good
- No risk or harm to individuals with public benefit being insufficient justification
- Respect for dignity and worth of persons and welfare of students and other stakeholders[10]

Minimising Risk or Harm

Researchers have:

- an obligation to avoid the risk of harm
- an obligation to protect the well-being of participants
- a responsibility to protect any loss of educational opportunity
- a responsibility to be informed of any cultural, religious or any sensitive differences they are likely to encounter during the course of the research and to respect these

Misconduct

An examples of misconduct includes failure to comply with the code, including the falsification of data, which would result in disciplinary action being taken in accordance with the Public Sector Management Act. Plagiarism will be dealt in accordance with the Copyright procedures. More information on this topic can be found on the Staff Information System (SIS).

Methodological Processes and Procedures

Data

- Research purpose, expectations and strategies and limitations need to be outlined and clarified with sponsoring bodies, highlighting any potential conflict of interest or issues
- All sources of information and process of analysis should be sufficiently documented to provide understanding of the processes undertaken for verification
- Research should be documented in an acceptable format, within the nominated timelines, clearly written in appropriate language, using appropriate analytical data, presenting data accurately and validly without bias or assumption with the report being adequately referenced and attributed. Those in the roles of reviewer, critical friend or steering committee may also provide feedback

[9] *National Statement on Ethical Conduct in Research Involving Humans*, June 1999, AusInfo, Canberra www.monash.edu.au/research 21/02/05

[10] *AARE Code of Ethics*, Martin Bibby (ed), http://www.aare.edu.au/ethics/ethcfull.htm 21/02/05

Authorship

- Authorship must be accurately attributed. The Copyright Amendment (Moral Rights) Act 2000 requires that authors have the right to be attributed for their work, that their work is not to be falsely attributed and/or distorted or treated in a derogatory way[11]
- All of those who have had substantial role in the research or components thereof, including research assistants and students will be seen as authors and this needs to be attributed appropriately. For details on acknowledging sources, see the CIT publication *Acknowledging the Source* (on the CIT website or obtained from the library)
- Acknowledgement must be made of all those who have taken part in the research or who have provided facilities

Ownership

- Ownership of intellectual property should be determined at beginning of the project and included in the contractual agreement. In most circumstances intellectual property created by staff employed by CIT will be the property of the Institute, unless otherwise stipulated in the contract. This should be clarified and included in the contract. More information on CIT's policy on intellectual property can be found on the Staff Information System (SIS)

Conflict of Interest

Researchers must identify and declare any real or potential conflict of interest at the beginning of any project. This needs to be brought to the attention of the appropriate party (e.g. project manager, principal researcher, commissioning agent)

Privacy and Confidentiality

- Since the introduction of the Privacy Act 1999, it is essential that researchers have an understanding of and apply these principles
- There is Commonwealth and state and territory privacy legislation. The National Privacy Principles (extracted form the *Privacy Amendment (Private Sector) Act 2000* and the Information Privacy Principles under the *Privacy Act 1988* are available on: http://www.privacy.gov.au/publications. An outline of the Information Privacy Principles is at Attachment A
- Privacy requires the confidentiality of any information that has been deemed as confidential
- Confidentiality agreements to protect intellectual property must be made between key stakeholders
- Confidentiality of information must be extended to participants and where possible they should be given the opportunity to sign a confidentiality statement. All forms of information that are identifiable should be removed to protect participants
- Participants have the right to remain anonymous
- Researchers are responsible for maintaining confidentiality of data

[11] *Moral rights*, Australian Copyright Council, Information sheet G43, www.copyright.org.au 21/02/05

- Research findings should be presented in a manner that retains the confidentiality of the participants

Informed Consent

- All participants should sign a consent form before the start of the research. The consent form should outline the nature and purpose of the project and the processes that will be used during the project
- Participants have the right to withdraw their consent at any time during the project
- Classroom teachers have to give their consent for their classes to be observed or to participate in research
- If a participant is under 18, the primary caregiver and the participant both must sign consent forms and be advised of the intent and nature of the research
- The ACT Department of Education and Community Services child protection requirements: Section 159 of *The Children & Young People Act 1999* stipulates that any mandated person in the ACT during their work who believe or suspect that a child or young person is in need of care or protection, have to report this to Family Services[12]
- Participants have the right to be informed of findings and outcomes of the research

Special Consideration

- Students under 18 – researchers undertaking research involving students under 18 years of age must sign a Confidential Declaration by Principal Researcher – see Form 5, Attachment B. Primary carers and participants are to sign an informed consent section on the consent form
- Aboriginal Torres Strait Islander – see Ethics in Research Involving Aboriginal and Torres Strait Islander People www.research.murdoch.edu.au/ethics
- Persons in dependent or unequal relationships

Publication, editing, appraising

- Researchers have a duty to disseminate research findings through CIT internal mechanisms of the Centre Undertaking Research in vocational Education (CURVE) and Staff Information System (SIS)
- If re-drafting of a research report is required for wider dissemination, this will be done in consultation with the researcher
- Researchers need to recognise the variety of perspectives and limitations of purpose and the funding bodies
- A blind review with multiple readers is preferable
- Any copyright clearances must have been obtained by the authors
- Ensure that any sexist, racist or discriminatory language is removed
- Findings should be submitted to the research community prior to release to the public
- Findings must be:

[12] Source: ACT Department of Education and Community Services *The Children & Young People Act 199; Keeping Children Safe – A Shared Responsibility*, booklet, p.3. http://www.decs.act.gov.au 1/2/02

    - published within the given timelines
    - accurate, complete, unbiased and unambiguous
    - distinguish between assumptions, speculations, findings and judgements
    - presented in an acceptable format and at an acceptable and appropriate level of language
- Research should:
    - include legal and compliance aspects of published information (copyright notice, ISBN, catalogue-in-publication data or metadata)
    - acknowledge all resources
    - acknowledge any sponsors of the research

Storage, retrieval and dissemination

- Dissemination strategies need to be included in the proposal and communication plan of the project
- All data collected must be kept in a protected area for at least 5 years (minimum data retention period) or written indication of where the original data is stored must be kept. Original data must be destroyed without breaching confidentiality
- Unpublished data collected for a student's research project must be retained by the student until the grades for the unit are issued

Intellectual property

CIT Intellectual Property Policy asserts that the Institute owns all intellectual property created by staff members during the time of their employment, unless otherwise agreed to in writing.

Intellectual property is defined as:

- circuit layouts
- copyright in literary works (including computer programs), dramatic works, musical works, artistic works, sound recordings, cinematograph films, television and sound broadcasts and published editions
- designs
- patents
- plant varieties
- trade marks or names
- information which is confidential
- CIT intellectual property includes lecture notes, courses, learning guides, radio broadcasts, audiovisual material developed for teaching, but may include other material created by CIT staff[13]

[13] Resourced and adapted from Draft copy of *CIT Intellectual Property Policy* – adapted and modified from University of Newcastle policy document.

Research Checklist

Planning	Issue	Action
	• Have you clarified your expectations of your research with your supervising teacher? • Have you thought about who you have to get consent from e.g. the CIT Research Ethics Committee, students, teachers, employers or agencies? • Have you identified any conflicts of interest in your research?	

Preparation	Issue	Action
	• Have you sought permissions from all those involved in your research and checked whether participants wish to remain anonymous or not? • Have you given all those participating in the research adequate information about the project aims and purpose? • Have you developed strategies to ensure confidentiality and privacy? • Have you developed a timeline and made all the necessary contacts to ensure least disruption possible?	

Collection	Issue	Action
	• Have you ensured privacy by gathering only the information you need? • Have you ensured least disruption possible to all concerned? • Have you stored your data safely to ensure confidentiality and privacy?	

Analysis and reporting	Issue	Action
	• Have you written your findings accurately using non-discriminatory language? • Have you avoided bias and assumptions? • Have you avoided plagiarism by attributing all information?	

	• Have you acknowledged all participants (within the constraints of privacy)? • Have you obtained copyright clearances, if you have used other people's material?	

Dissemination	Issue	Action
	• Have you given all stakeholders feedback? • Have you disseminated the report to all sponsors/stakeholders? • Have you stored a hardcopy and digital copy of all disseminated reports/papers securely?	

Modified and adapted from: Watt, J., *Ethical Issues for Teacher Researchers,* The Scottish Council for Research in Education, Issue 49, http://www.scre.ac.uk/spotlight 21/02/05

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National Health and Medical Research Council (NHMRC) - Part 2, *National Statement on Ethical Conduct in Research Involving Humans,* Part 2 – Human Research Ethics Committees, http://health.gov.au/nhmrc/publications/humans/part2.htm 2/7/03

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Attachment A: Information Privacy Principles under the Privacy Act 1988

These are considerations researchers must take into account when undertaking research, particularly in relation to personal information.

Principle 1: Manner and purpose of collection of personal information.

Principle 2: Solicitation of personal information from individual concerned.

Principle 3: Solicitation of personal information generally.

Principle 4: Storage and security of personal information.

Principle 5: Information relating to records kept by record-keeper.

Principle 6: Access to records containing personal information.

Principle 7: Alteration of records containing personal information.

Principle 8: Record-keeper to check accuracy etc of personal information before use.

Principle 9: Personal information to be used only for relevant purposes.

Principle 10: Limits on use of personal information.

Principle 11: Limits on disclosure of personal information.

Source: Privacy website: http://www.privacy.gov.au/publications/ipps

Attachment B: Research forms

Form 1: Application Form

Personal details of researcher/s – names, contact details	
Name of department/supervisor	
Research experience and employment details	
Proposed field of study	
Nature of research	

Submit applications to:

Director
Centre Undertaking Research in Vocational Education (CURVE)
CIT

Form 2: Letter to Institute Directors or CEOs

The Institute Director
Institute of TAFE

Date

Dear ,

Re:

Give an overview of the project and who the sponsor is.
The study will (elaborate of the aims of the research).
The information for the research will be gathered from (name the stakeholders)
The major research methods to be used are:

- Focus groups
- A questionnaire that may be completed via email or the web
- Individual interviews with

I am writing to you to invite your organisation to contribute to this study by participating in <u>all three</u> of these. This will entail the following:

Focus group

We wish to invite 5-10 people (include stakeholder group) who are involved in (describe activity or field) to participate in a focus group. The focus group will run for ……. hours, and its starting time and location will be negotiated with the participants.

Questionnaire

We have designed a questionnaire that may be emailed to staff, which may be returned to the research team either by fax or email. We will ask you to forward this questionnaire to staff in your organization who are engaged in ……. . Practitioners may prefer to complete the same questionnaire on the web. We will advise you of the site address in due course.

Learner interviews

These are intended to be very brief (no more than 5-10 minutes) and will be conducted individually. In this instance, we seek the cooperation of your organisation's Student Association (or equivalent body) in inviting students to participate. Input from as few as 3 or 4 students will be very welcome, but as many as 12 or 15 can be accommodated in our schedule.
Further details will be supplied as arrangements for your organisation's participation are confirmed. Meanwhile, if you have any specific questions about the project, please do not hesitate to contact me on the number below.
We welcome your participation, and look forward to your organisation's contribution to this important and timely study.

Name of Researcher
Centre for Undertaking Research in Vocational Education (CURVE)
Canberra Institute of Technology, PO Box 826, Canberra 2601
Phone:

Form 3: Consent form

Centre Undertaking Research in Vocational Education
Canberra Institute of Technology

CONSENT FORM

Project title:
Researcher's name:
Telephone:
Fax:
Email:

I have read the Information Sheet, and the nature and the purpose of the research have been explained to me. I understand and agree to take part.
I understand that, while the research should advance knowledge of vocational education and training, I may not directly benefit from taking part in the exercise.
I understand that I can withdraw from the exercise at any stage and that this will not affect my status now or in the future.
I understand that I may be audio-taped during the interview.
I understand that the tape will be stored at the Centre Undertaking Research in Vocational Education (CURVE) for a period of seven years and that only the researchers directly involved in the exercise will have access to it.
I understand that, while information gained during the exercise may be published, I will not be identified and my personal details will remain confidential.
I confirm that I am over 18 years of age.

Name: .....

Signed: .....

Dated: .....

I have explained the exercise to the participant and consider that he/she understands what is involved.
Researcher's signature and date:
……
Please fax this form back to:
Name of interviewee: ……
Date:……

Form 4: Information Sheet

Centre Undertaking Research in Vocational Education
Canberra Institute of Technology

INFORMATION SHEET

Project Title:
Researcher:
Tel.
Fax:
Email:

I am writing to ask you to participate in the above-mentioned study. This research in being conducted by the Centre Undertaking Research in Vocational Education, Canberra Institute of Technology on behalf of ……
The project aims to ……
In order for this project to be successful, I am seeking input from…… ……. I would appreciate your participation in this study.
Information obtained as part of the interview will be published. However, at no time will you be identified and any personal details that you provide, will remain confidential.
Participation in the study is voluntary and you have the right to withdraw your consent at any time.
If you have any specific questions about the project please do not hesitate to contact me on the above number.
Thank you again for your interest and cooperation.

Name of Researcher
Centre Undertaking Research in Vocational Education
Canberra Institute of Technology,
PO Box 826
Canberra 2601

Form 5: Confidential Declaration by Principal Researcher (if participants are under 18)

Confidential Declaration by Principal Researcher

I am aware of the special responsibilities associated with undertaking research with children, in particular, responsibilities in relation to my state/territory child protection policies.

I declare that I have not been convicted of a serious sex offence as defined by the relevant Child Protection legislation for my state/territory.

In relation to assistants conducting research with children and young people with me and/or on my behalf, I will confirm that:

they will be made aware of the special responsibilities associated with undertaking research with children, in particular, responsibilities in relation to the relevant child protection policies.

My research assistants and I may be required to agree to a criminal record check.

Signature of Principal Researcher Date

Resourced and adapted from Strategic Research Directorate June 2001, TAFENSW, http://esd.tafensw.edu.au/resproj/guidelines.doc