Minutes of a meeting of Academic Senate held on 18 July 2014 at 9.30am in the Senate Room, Level 3, Lincoln Building.

Present: Professor D Verity (in the Chair)
Dr Wylie Bradford
A/Professor David Coutts
A/Professor Pamela Coutts
Professor Bruce Dowton
A/Professor Mark Evans
Professor Janet Greeley
Professor Mariella Herberstein
Professor Lori Lockyer
Professor Catriona Mackenzie
Professor Nick Mansfield
Professor Peter Nelson
Professor Jacqueline Phillips
Professor Sakkie Pretorius
Alexander Read
A/Professor Mehdi Riazi
Professor Anne Ross-Smith
Cathy Rytmeister
Professor John Simons
JoAnne Sparks
Professor Dick Stevenson
Mohammed Sulemana
George Tomossy
A/Professor Michelle Trudgett
Lachlan Woods
A/Professor Lisa Wynn
Professor Sherman Young

In Attendance: Ellen Carlson
Professor Lorne Cummings
Paul Fairweather
Professor Paul Gollan
Ainslee Harvey
Barbara Lawrence
Professor Bernard Mans
Desla McLean
Amanda Phelps
Dr Benjamin Pitcher
Dr Kyle Ratinac
Colin Thomson
A/Professor Subramanyam Vemulpad
Dr Kandy White
Professor Mark Wiggins
Zoe Williams
Jonathan Wylie
1. **APOLOGIES /WELCOME**

Academic Senate noted that apologies were received from Deidre Anderson, Karee Chan, Professor Alex Frino, Professor Mark Gabbott, Professor Simon George, Professor Jim Lee, Nicholas McGuigan, Associate Professor Ian Solomonides, Vikas Veerareddy, Professor David Wilkinson and Dr Rod Yager.

The Chair noted that Professor John Croucher had provided his resignation from Academic Senate and that a request for a nomination from MGSM had been sought. The Chair publicly thanked Professor Croucher for his contribution to Academic Senate.

The Chair welcomed the following guests Professor Bernard Mans, Professor Mark Wiggins, Professor Paul Gollan, Dr Kyle Ratinac, Professor Lorne Cummings, Associate Professor Subramanyam Vemulpad, Dr Kandy White, Dr Benjamin Pitcher who were in attendance.

The Chair also acknowledged that Professor Colin Thomson would be making a presentation on the proposed Research Integrity Framework and that the Interim Head of Student Administration, Barbara Lawrence would be attending as an observer.

The Chair acknowledged the first Academic Senate meeting to be held in the newly refurbished Senate room and the adjacent meeting room.

2. **ARRANGEMENT OF THE AGENDA**

The following items were starred for discussion:

1. Academic Senate items requiring action
2. Higher Degree Research Appeals Committee – nomination from Faculty of Human Sciences.
3. Chair Oral Update
4. Vice-Chancellor Oral Update
5. Reports from Executive Deans
6. Approval for the Communication of Results
7. Questions on Notice
8. Academic Standards and Quality Committee
9. Curriculum Standards Framework Committee
10. Higher Degree Research Committee
11. Senate Learning & Teaching Committee
12. Faculty of Medicine and Health Sciences
13. Research Integrity Framework
15. Higher Degree Research Thesis Preparation, Submission and Examination Policy
16. Academic Appeals – Academic Appeals Policy and Interim Procedure for Managing Academic Appeals
2.1 The Chair requested that Senate members declare any conflicts of interest. No conflicts were recorded.

The Chair noted that student representatives would be unable to vote on the approval for release of Session 1 2014 examination results.

3. MINUTES OF MEETING HELD 3 JUNE 2013

Resolution 14/112
That the minutes of the meeting held on 3 June 2014 be signed as a true and correct record with the following amendment; Professor Anne Ross-Smith to be listed as an apology.

4 BUSINESS ARISING FROM THE MINUTES
4.1 Academic Senate items requiring action

The table was noted.

5. CONSIDERATION OF UNSTARRED ITEMS

Resolution 14/113
That the items not starred for discussion be noted and, where appropriate, be adopted as recommended.

(The adopted items are recorded in these minutes according to the sequence of the agenda).

6. CONSIDERATION OF CONFIDENTIAL ITEMS

The minutes of the 4 June 2014 University Discipline Committees were tabled.

7. CHAIR ORAL UPDATE

The Chair welcomed members and attendees to the newly refurbished Senate and noted that the new physical meeting space is symbolic of the deeper changes that are afoot for Senate in the coming months.

A two-day academic governance workshop, facilitated by external consultant Philip Pogson, has been confirmed for 13 November and 1 December. The workshop will provide an excellent opportunity to reimagine the role of academic governance; reposition Academic Senate within the University; and consider ways to reinvigorate Academic Senate as the key debating chamber for all academic matters. The workshop will build on the work commenced during the special meeting of Senate held in May 2014.

The Chair confirmed that at the meeting on 3 July 2014 University Council approved the new Faculty Rule, which establishes Faculty Boards. The Faculty Boards will report regularly to Senate on their activities.

The Curriculum Standards Framework Committee is developing processes for the recognition of prior informal and non-formal learning. The Chair noted that the Faculty of Business and Economics had commenced thinking about informal and non-formal learning requirements and how such learning might be assessed.

The Chair noted that system issues had been identified as a result of the premature release to students of Session 1 2014 examination results that had not yet been finalised. Once this error had been identified, the University had devoted significant efforts to identifying and
contacting students who accessed these results. The approval for the release of Session 1 2014 examination results would be considered at this meeting.

Macquarie University is hosting the NSW/Territories Committee of Chairs of Academic Boards/Senate meeting to be held on Thursday 28 August 2014.

The Chair thanked those involved in perpetuating the work of Academic Senate whilst he had been on leave for 6 weeks.

Academic Senate noted the update.

8. VICE-CHANCELLOR ORAL UPDATE

The Vice-Chancellor provided Academic Senate with advance notice of the appointment of the new Deputy Vice-Chancellor (Academic), Professor John Simons. Members joined the Vice-Chancellor in congratulating Professor Simons on his appointment. The Vice-Chancellor updated Academic Senate on progress relating to the recruitment of an Executive Dean of Science and a Chief Information Officer and advised that both processes were nearing closure.

The Vice-Chancellor acknowledged the services of Tim Sprague over the past decade and confirmed that Carol Watson had been appointed as an Acting-Director of Human Resources. The Vice-Chancellor advised that Ms Watson had commenced implementing changes to the way in which Human Resources services the University community.

Members were briefed on the activities being undertaken by Universities Australia in response to the Federal budget. The Vice-Chancellor outlined his specific concerns and noted that there has been a convergence across Universities on a number of issues including, the impact of proposed changes to HECS, how student loans will be implemented and clustering of disciplines.

The Vice-Chancellor confirmed the passage of the Faculty Rule through the July meeting of University Council. This Rule facilitates the establishment of Faculty Boards and the Vice-Chancellor spoke to the significance of this milestone to streamline academic governance, freeing Academic Senate to focus on strategic matters.

The Vice-Chancellor referred to the recent announcement confirming the University’s conclusion of its partnership with Navitas and briefed members on the complexities and specific reasons for the approach taken by the Executive in negotiating this outcome. The Vice-Chancellor acknowledged the considerable effort undertaken by the Deputy Vice-Chancellor (International), the Chief Financial Officer and the Director of Macquarie International in developing the proposal to establish Macquarie University College. The Vice-Chancellor noted the amount of work ahead to establish the College and Academic Senate’s direct role in this.

The Vice-Chancellor referred to the unanimous decision of the University Council to approve the creation of a new Faculty of Medicine and Health Sciences and referred to the agenda item relating to this matter.

Academic Senate noted the update.

9. 2014 - SESSION 1 UNIT RESULTS

The Chair noted that the ratification of examination result is a function to be delegated to Faculties when Curriculum Standards and Framework Committee has finalised the required framework.
9.1 Reports from Executive Deans

9.1.1 Faculty of Arts

Professor John Simons spoke to the Faculty of Arts Examination and Assessment Report Winter 2014 and highlighted the lack of attendance at lectures as a continuing issue.

A Committee member commented that ECHO360 does not track downloads to mobile devices and therefore any data indicating low uptake may not be entirely accurate.

Issues surrounding special consideration and disruptions to study were also highlighted as causing concern to the Faculty. The Committee noted that Session 1 2014 is the first period of implementation for the new Disruption to Studies Policy.

The Deputy Registrar advised that he had communicated with Campus Wellbeing regarding the issues raised in the report from the Faculty and noted that he would be looking into matters further.

The Faculty also requested that Senate consider the need for a consistent approach to the penalties for late submission of assignments.

ACTION: Refer issues of lack of student engagement and attendance at lectures to the Senate Learning and Teaching Committee.

ACTION: Refer consideration of a consistent University approach to the late submission of assignments to the Senate Learning and Teaching Committee.

ACTION: Refer review of the first session of the implementation of the new Disruption to Studies Policy to the Senate Learning and Teaching Committee.

9.1.2 Faculty of Business and Economics

Professor Anne Ross-Smith spoke to this report and highlighted the common thread appearing among all of the Session 1 2014 examination report from the Faculties with respect to the high number of disruptions to studies applications. It was noted that the Faculty receives on average 3000 disruption applications per session.

Another ongoing issue highlighted was the communication skills and generic skills of international students. A project on communications skills of graduates and what employers require in this regard is being scoped to address this issue. A comment regarding the decline in the number of ATAR admissions was also identified as an issue connected to communication skills.

The Chair commented that issues surrounding ATAR admission is a topic that continually arises at Chairs of Academic Boards and Senates meetings.

ACTION: The managing of expectations for non ATAR entry English language requirements be referred to the Senate Learning and Teaching Committee.

9.1.3 Faculty of Human Sciences

Professor Janet Greeley spoke to this report and noted similar issues to other Faculties, namely, lack of student engagement, high number of disruption to study applications and alternate arrangements for assessments. The Committee noted that each Faculty deals with alternate arrangements for assessment independently and there is currently no consistent approach.

Professor Greeley informed Senate that her Faculty had made improvements in the handling
of incomplete grades. However, she identified some ongoing issues in regard to the resolution of incompletes in placements and practicum units.

The non-submission of assessments continues to be an issue of concern. It was suggested that, in part, this might be accounted for by a lack of awareness of census dates and withdrawal processes amongst students.

The Chair of the Senate Learning and Teaching Committee noted that there is scope for discussion about how grade distributions should be used in a standards based assessment regime and he suggested that this matter should be referred to the Senate Learning and Teaching Committee for further discussion.

ACTION: The use of grade distributions in the University’s assessment practices to be referred for further clarification to the Senate Learning and Teaching Committee.

9.1.4 Faculty of Science

Professor Peter Nelson spoke to this report and noted the lack of student engagement, including the failure to attend final examination, as ongoing issues. He noted significant progress in reducing the high failure rates of some key 100 level units.

The Committee remarked upon the apparent ease with which students could obtain Withdrawal Without Academic Penalty (WWAP), and observed that there was no time limit on the application of this rule. It was noted that the WWAP process was currently under review, and the committee expressed its desire to see the latest statistical data in regard to the operation of this process. This latter query was referred to the Deputy Registrar.

It was suggested that consideration of the issues identified in the Executive Deans Session 1 2014 Examination reports, including the post unit results analysis should be referred to the Senate Learning and Teaching Committee and Academic Standards and Quality Committee for consideration with a report provided back to Academic Senate and Faculties on their findings.

It was also noted that the new Faculty Rule approved by University Council, which establishes the Faculty Boards, comes into effect on 1 January 2015. From that point, the ratification of results will become a responsibility of Faculty Boards. In the meantime, session 2 2014 unit results will again be ratified for release to students at the 18 December 2014 Academic Senate meeting.

The Chair noted, as a general comment, that there would be a number of transition issues to be worked through both leading up to and post the move of unit results ratification to Faculties. He also reminded Academic Senate that ratification procedures and moderation guidelines were currently under development by CSFC.

ACTION: Post Session 1 examination results analysis referred to the Academic Standards and Quality Committee for consideration. A report on its findings to be provided to Academic Senate and Faculties for action.

ACTION: Senate Learning and Teaching Committee to consider examination reports and to identify possible policy responses to issues identified.

ACTION: The Deputy Registrar to provide a statistical report on the application of the Withdrawal Without Academic Penalty rule and to provide an update on the progress of the process review.
9.2 Candidates who have now Satisfied Requirements for Undergraduate Degrees/ Diplomas/ Certificates

Resolution 14/114
That the candidates in the reports under items 8.3, 8.4 and 8.5 have satisfied requirements for the awards stated.

9.3 Prize Awards
Academic Senate resolved as recommended the list of prize awards submitted for its consideration at the meeting.

Resolution 14/115
That prizes be awarded to the students nominated for the prize awards.

9.4 Session 1 2014 Unit results - Communication of Results

Resolution 14/116
That the schedule of results be approved as the official record and that the Deputy Vice-Chancellor (Students and Registrar) be authorised to convey these results to students.

10 OTHER RESULTS FOR NOTING

Academic Senate noted the following results:

10.1 ICMS Study Period 3, 2013
10.2 OUA Term 1, 2014
10.3 OUA Term 3, 2013
10.4 OUA Term 4, 2013
10.5 OUA Session 2, 2013
10.6 OUA Session 3, 2013
10.7 Macquarie City Campus IBT 3, 2013
10.8 Macquarie City Campus IBT 1, 2014
10.9 Macquarie City Campus Study Period 3, 2013
10.10 Macquarie City Campus Study Period 1, 2014
10.11 Session 3, 2013/14

11. QUESTIONS ON NOTICE

Nil received.

12. REPORTS FROM STANDING COMMITTEES

12.1 Academic Standards and Quality Committee (ASQC)

The Chair of ASQC, Associate Professor Pamela Coutts spoke to the tabled report and highlighted the four items requiring approval by Academic Senate.

Academic Senate noted the report of the meeting of 24 June 2014 and resolved as recommended:
Resolution 14/117
That the new awards and majors listed below are approved effective 1 January 2015.

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<tr>
<th>Type</th>
<th>2015 Name</th>
<th>2015 Award Abbreviation</th>
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<tr>
<td>UG major</td>
<td>S2:International Relations</td>
<td></td>
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<tr>
<td>PG award</td>
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<tr>
<td>PG award</td>
<td>Master of Ancient History</td>
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<td>Graduate Diploma of Ancient History</td>
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<td>BA-MediaLLB(Hons)</td>
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<td>Bachelor of International Studies with the degree of Bachelor of Laws with Honours</td>
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<tr>
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<td>BSocScLLB(Hons)</td>
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<tr>
<td>UG award</td>
<td>Bachelor of Applied Finance with the degree of Bachelor of Laws with Honours</td>
<td>BAppFinLLB(Hons)</td>
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<tr>
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<td>Bachelor of Business Administration with the degree of Bachelor of Laws with Honours</td>
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<td>Bachelor of Commerce - Professional Accounting with the degree of Bachelor of Laws with Honours</td>
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<td>BComLLB(Hons)</td>
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<td>UG award</td>
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<td>BPsysc(Hons) LLB (Hons)</td>
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<td>UG award</td>
<td>Bachelor of Environment with the degree of Bachelor of Laws with Honours</td>
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<tr>
<td>UG award</td>
<td>Bachelor of Information Technology with the degree of Bachelor of Laws with Honours</td>
<td>BITLLB(Hons)</td>
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<tr>
<td>UG award</td>
<td>Bachelor of Science with the degree of Bachelor of Laws with Honours</td>
<td>BScLLB(Hons)</td>
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</tbody>
</table>

Resolution 14/118
That the introduction of the Bachelor of Engineering with Honours awards at AQF level 8 is approved.

Resolution 14/119
That the Master of Accessible Media and Intercultural Communication (AMIC) award is approved.

Resolution 14/120
That the following People and Planet Program requirements are approved:

For students commencing in 2015 the new People and Planet requirement will apply.

For all students who commenced prior to 2015 either set of requirements will apply. A process of review against both sets of rules will be undertaken for this cohort. Where required, this review will be forwarded to Faculties for advice.

12.2 Curriculum Standards Framework Committee (CSFC)

Academic Senate noted the reports of the meetings held on 20 May and 18 June 2014.

Arising from the meeting of 18 June 2014:
Resolution 14/121
That the draft Academic Program Structure Statement: Undergraduate Diploma Programs be approved.

12.3 Higher Degree Research Committee (HDRC)

Professor Nick Mansfield highlighted the recent changes to the MRes program.

Academic Senate noted the report of the meeting of 27 June 2014 and resolved as recommended:

Resolution 14/122
That the students included in the report of the Higher Degree Research Committee of 27 June 2014 (Item 11.3 Academic Senate Agenda 18 July 2014) have satisfied the requirements of the awards stated.

Nominations for Vice-Chancellor's Commendation

Resolution 14/123
That Gwenda Claire Colyer's PhD thesis entitled “The Best of Intentions: Mainstreaming, the Not-For-Profit Sector and Indigenous Australians” be awarded a Vice-Chancellor's Commendation.

Resolution 14/124
That Ivan Jesus Fernandez Corbaton’s PhD thesis entitled “Helicity and duality symmetry in light matter interactions: Theory and applications” be awarded a Vice-Chancellor's Commendation.

Resolution 14/125

Resolution 14/126
That Julien Michel Ogereau’s PhD thesis entitled “Paul’s Κοινωνία with the Philippians: A Socio-Historical Investigation of a Pauline Economic Partnership” be awarded a Vice-Chancellor’s Commendation.

12.4 Senate Learning and Teaching Committee (SLTC)

Report of Meeting of 16 June 2014

Academic Senate noted the report of the meeting of 16 June 2014.

13. GENERAL BUSINESS

13.1 Faculty of Medicine and Health Sciences

The Vice-Chancellor briefed Academic Senate on the resolution of the University Council to establish a Faculty of Medicine and Health Sciences. The Vice-Chancellor spoke of the need for a convergence between the activities of ASAM and the University Hospital for the University’s long-term sustainability, and the establishment of the Faculty of Medicine and Health Sciences as being a progressive and natural step towards this goal. The Vice-Chancellor confirmed that while the Faculty had been approved at the conceptual level, the role of Academic Senate would be critical in governing the academic activities of the new Faculty.

The Vice-Chancellor presented members with a detailed overview of the model for an
Academic Health Sciences Centre, integrating clinical care, teaching and research. The Vice-Chancellor outlined successful models in the US, Canada, Sweden and Singapore and spoke to Macquarie’s unique position as the only University, which owns a Hospital, to pioneer this model within Australia.

The Vice-Chancellor detailed the governance framework supporting the Academic Health Sciences Centre including the organisational structure, which will integrate the University, the Hospital, Departments and healthcare providers. The Vice-Chancellor spoke to the unique skills and experience required from an Executive Dean to take carriage of the development of the Faculty to achieve this vision, and confirmed that the recruitment process has commenced.

The Vice-Chancellor thanked Academic Senate for the opportunity to provide a detailed briefing and invited questions from members.

An elected member questioned whether the new Faculty of Medicine and Health Sciences would absorb the 50 new academic positions recently announced. The Vice-Chancellor responded that this was not the case and referred to the model for the Academic Health Sciences Centre presented to support this case.

An elected member asked if undergraduate programs would focus on medical sciences. The Vice-Chancellor indicated that due to the heavily regulated requirements for delivering medical education in Australia, the University would not be in a position to run an undergraduate medical program in the short to medium term. The focus would be on delivering an integrated approach to research, clinical services, postgraduate education and training.

The Chair thanked the Vice-Chancellor for the update.

Professor Anne Ross Smith departed the meeting at 11:10 am.

13.2 Research Integrity Framework

Professor Sakkie Pretorius provided an introduction to the presentation from Professor Colin Thomson from Australasian Human Research Ethics Consultancy Services together with Dr Kandy White, Director, Research Ethics and Integrity, who provided an overview of the Research Integrity Framework and its proposed operation (refer to Attachment 1 to these minutes for a copy of the presentation).

The draft Research Integrity Framework was provided for consideration. The committee noted that there was a correction to be made to the draft Framework presented; appeals are to be considered by the Chair of Academic Senate and not General Counsel.

Overall members were supportive, however there were concerns raised regarding issues relating to authorship.

Professor Pretorius noted that the draft Framework has been developed in a less legalistic style, in comparison to other institutions and was intended to provide a best practice approach.

Academic Senate expressed the view that given its importance to the University, further consultation with the broader university community was required before approving the Framework. Dr White is to meet with Faculties to discuss the draft Framework and training requirements.

Professor Peter Nelson and Professor Lori Lockyer departed the meeting at 11:30am.

A/Professor Michelle Trudgett and A/Professor Mark Evans departed the meeting at 11:35 am.
The Vice-Chancellor commented on his own experiences with research integrity and noted that Macquarie University is not as advanced in this area as other institutions. The Vice-Chancellor fully encouraged establishment of the Research Integrity Framework and commended Professor Pretorius on his work progressing this project. Professor Pretorius thanked Dr Kandy White, Dr Benjamin Pitcher and Professor Colin Thomson for their involvement.

ACTION: This item to return to the 2 September 2014 meeting of Academic Senate for approval.

13.3 Word-Leading Research; world changing impact strategic research framework 2015-2024

Professor Dick Stevenson departed the meeting at 11:48pm.

Professor Pretorius provided an introduction to the Green Paper and encouraged feedback to be submitted by the 31 July 2014 deadline. Professor Pretorius informed the Committee that question and answer sessions will be held on a variety of dates and attendees will be invited to provide feedback and to ask questions.

It is expected that the White Paper will be released by 30 September 2014. Professor Pretorius thanked the members of the working party and those involved in the development of the Green Paper.

ACTION: A further update is to be provided at the next Academic Senate meeting on 2 September 2014.

Professor Mariella Herberstein and Mohammed Sulemana departed the meeting at 11:57am.

At this point in the meeting a quorum could not be established and items 12.4 and 12.5 on the Agenda were confirmed by flying minute, with effect from 25 July 2014.

13.4 Higher Degree Research Thesis Preparation, Submission and Examination Policy

Resolution 14/127
That the Higher Degree Research Thesis Preparation, Submission and Examination Policy is approved.

13.5 Academic Appeals – policy and interim arrangements

Resolution 14/128
That appeals relating to Recognition of Prior Learning, Disruptions to Study and Enrolment in a unit for the third time, will be reviewed at the Faculty-level, followed with a review by a panel comprising the Chair of the Academic Appeals Committee, the Deputy Registrar and an Associate Dean, Learning and Teaching and/or Standards and Quality until the Academic Appeals Policy is approved.

13.6 Academic Appeals Report

The Academic Senate noted the outcome of the twenty-one Session 3 Academic Appeals, four Macquarie City Campus Academic Appeals and ten Postgraduate Appeals against exclusion from enrolment considered by the Academic Appeals Committee.

13.7 Vice-Chancellor’s Commendations

Resolution 14/129
Academic Senate approved the award of the Vice-Chancellor’s commendation to the eight Master Coursework graduands as attached in Item 12.7 of the 18 July Academic Senate Agenda.
13.8 Macquarie Foundation Program Completions

Resolution 14/130

That Academic Senate approves the list of 22 candidates who have satisfied the requirements for the Macquarie Foundation Program (listed at item 12.8 of the 18 July 2014 Academic Senate Agenda).

13.9 Undergraduate and Postgraduate Students Qualified for an award

The list of qualified students from 4 June to 18 July 2014 was tabled at the meeting.

Resolution 14/131

That the candidates in the report have satisfied the requirement for the awards stated in the submission.

14. OTHER BUSINESS

Nil.

NEXT MEETING

The 5 August 2014 meeting of Academic Senate is to be cancelled and the next meeting will be held on Tuesday 2 September 2014 as a full meeting of Senate.

There being no further business the meeting was declared closed at 12:00 pm.

Professor D Verity
Chair
ATTACHMENT 1: ‘Research Integrity Framework and Draft Code for Responsible Conduct of Research’

Presentation by Professor Colin Thomson
Research Integrity Framework and Draft Code for Responsible Conduct of Research

Macquarie University

Professor Colin Thomson, Consultant
Australasian Human Research Ethics Consultancy Services

18 July 2014
Underlying approach & principles

- Approach to research integrity based on resources and professional development
- Institutional goals link research integrity with research development and system performance
- Research integrity arrangements should offer a positive research experience and be:
  - constructive in promoting good research
  - effective and efficient in ensuring responsible conduct
  - proportional to risks and sensitivities.
Research integrity advisers (RIAs)

- Appoint network of RIAs who have:
  - research experience,
  - wisdom,
  - analytical skills,
  - empathy, and
  - know policies, management structure & research principles

- Sufficient number to cover research disciplines

- Receive training as needed from Research Ethics and Integrity
Research integrity advisers (RIAs)

- Accessible as primary point of contact for advice on
  - good research practice
  - strategies to avoid common problems
  - application of the Code and
  - questionable practice and allegations of possible breaches and/or misconduct
Training and Capacity-Building

- Centrally coordinated suite of activities
- Build awareness and capacity building
- Discipline-relevant
- Tailored for specific audiences, e.g. HDR students & supervisors, early career & new-to-MQ researchers
- Present research integrity as a core component of quality research
Training and Capacity-Building

- Activities most effective when:
  - focussed on needs of department or methodological group
  - involve respected researcher/s (e.g. the local RIA)

- Maintain records about participation

- Sustainable way to resource reflective practice

- Tangible demonstration of practical adoption of *The Code*

- Information & resources on web, contact details of RIAs, Research Integrity staff etc
DRAFT CODE PART A: RESPONSIBLE CONDUCT OF RESEARCH
Researchers’ general responsibilities

- Within a broad definition of research, researchers observe the Code by
  - Conducting research
    - ethically, with integrity & professionalism
    - with fairness, equity & intellectual honesty
  - Managing conflicts of interest
  - Ensuring well-being of those involved
  - Respecting human participants, animals and environment
  - Acknowledging roles and contributions of others
  - Communicating results responsibly – public scrutiny of methods & outputs
  - Promoting adherence to the Code
Researchers’ general responsibilities

- Be familiar with Code
- Engage constructively with research integrity processes
- Recognise that failure to adhere to Code can be grounds for inquiry and non-compliance findings
- Access advice from RIAs, Faculty Associate Dean (Research) or (HDR), Research Ethics and Integrity
- Report possible Code breaches by following the Code process
Researchers’ specific responsibilities

Specific and detailed guidance on:

- Research Data, Materials and Records
- Authorship
- Publication
- Supervision of Students undertaking Research
- Conflicts of Interest
- Peer Review
- Collaborative Research with Other Institutions
Other requirements

- Awareness of and compliance with legal requirements
- Ethical approval for human and animal research, bio-safety & gene technology approvals
- Conform to
  - intellectual property policy
  - social media and public comment policy
- Access to all relevant guidelines and policies
- Annual declarations by researchers
DRAFT CODE PART B: Resolving allegations of breaches or misconduct
Code Breaches & Misconduct

- Code breaches = unintentional failures to comply with principles or specific policies

- Misconduct = breaches of principles or policies that are intentional, reckless or grossly & persistently negligent, e.g.
  - Fabrication or falsification of data or results
  - Plagiarism
  - Failure to manage risks to humans, animals or environment or obtain & maintain appropriate ethical approval
  - Misleading ascription of authorship
  - Non-disclosure of conflicts of interest
Responding to allegations: principles

- Fair, transparent and policy-based
- Timely, in good faith, with honesty and natural justice
- Avoidance of conflicts of interest
- Proportional and remedial
- Complements academic, student or staff misconduct processes
- Comprehensive records and outcome reports to all parties
- No tolerance for reprisals or frivolous, vexatious or malicious allegations
Responding to allegations: processes

- Advice on proposed allegation from RIAs

- Allegations to Director, Research Ethics and Integrity who determines whether:
  - Possible breach
  - Ethical conduct
  - Possible research misconduct
  - Not research
  - Frivolous, vexatious or malicious
  - More information needed

- Escalation in formality when less formal processes fail to resolve

- Essential record keeping of all stages
Responding to allegations: processes

Breaches

- To Executive Dean – may appoint delegate
- Delegate assesses evidence, decides if breach/no breach
- If breach, communicates/meets respondent & offers opportunity to respond
- If breach continues, 3 month remediation, report and further period if necessary, until no longer breach
- If no remediation, referred as misconduct
- Can be referred as misconduct at any time if prima facie case
- Can be escalated to address risk of corporate exposure
Responding to allegations: processes

Research misconduct

- Director, Research Ethics & Integrity refers to DVC (Research) (or VC if conflict) who appoints internal or external inquiry and advises Faculty/Department

- May consult with/notify
  - Research Ethics and Integrity,
  - Higher Degree Research Office and
  - Human Resources

- on appropriate response/course of action
Responding to allegations: processes

- **Internal inquiry** -
  - Usually 3 members, internal (may have some but not all external), relevant expertise
  - ToR to report on facts & find whether or not failure to comply with the Macquarie Code (for University to act on)
  - Respondent may have support person (not lawyer)

- **External inquiry** -
  - Usually 3 – chair with legal experience, relevant expertise
  - Counsel assisting
  - Respondent may have legal representation
  - ToR to report on facts & find whether or not failure to comply with the Macquarie Code (for University to act on)
Responding to allegations: processes

Inquiry processes

- Respondent opportunity to attend, respond to allegations, ask questions,
- Reasonable opportunity for respondent and University to make submissions
- Interview any person or examine any material seen fit
- As expeditious as possible
- Refer *Reporting Wrongdoing: Public Interest Disclosure Policy* if necessary
- Keep records of all steps
- Report findings to DVC (Research) & notify stakeholders (listed)
- Appeals - process to General Counsel – substance to courts
Research integrity & quality

Research integrity arrangements should

- encourage positive & constructive contributions to research quality
- focus on promotion of Macquarie research culture
- maintain engagement with the research community
- have effective and efficient processes to ensure responsible conduct
- promote (and resource) reflective practice.
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